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ABSTRACT

This SPEC Kit and Flyer focus on how libraries gather affirmative action statistics, what types of recruitment practices are used, especially those for protected classes, and what methods are used to retain minority librarians. Of 120 Association of Research Libraries (ARL) libraries polled in 1997, 43 responded to the survey. Survey results are discussed in the SPEC Flyer in terms of statistics, recruitment, and compliance. Retention strategies are also outlined and trends and emerging patterns are discussed. In addition to the representative documents, the survey form, a list of responding institutions and selected readings are included. (AEF)

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SPEC

SYSTEMS AND PROCEDURES EXCHANGE CENTER

Kit 230

Affirmative Action in ARL Libraries

June 1998

ED 420 326

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Flyer 230

Affirmative Action in ARL Libraries

June 1998

Introduction

Recent court rulings such as *Hopwood v. University of Texas* (1996) and California's voter-mandated Proposition 209 (1997) have thrust affirmative action and—more recently—diversity into the national spotlight and are causing institutions of higher education, including research libraries, to rethink the value of diversity initiatives. The question of what libraries should do in the face of attacks on affirmative action is important to administrators and information professionals at all levels. Making informed decisions about the use of affirmative action and a library's commitment to diversity requires data about current practices and trends over time. In June 1997, a survey of the 120 ARL libraries examined the extent to which ARL libraries have affirmative action policies, guidelines for data gathering and reporting, documented recruitment processes, and retention strategies. This survey supplements SPEC Kit #163, *Affirmative Action Policies and Practices in ARL Libraries*, compiled in 1990.

Analysis of the 1997 survey results reveals that in many instances libraries do not nominally distinguish between a diversity program and affirmative action policy. To clarify: a diversity program is a set of initiatives designed to enhance recruitment efforts, increase retention numbers, and create and sustain a culturally-sensitive workplace environment. Affirmative action policy seeks to exploit as many markets as possible in order to attain equitable representation of individuals belonging to protected groups in the workplace,* and it is most directly related to meeting statistically-based organizational goals. These goals are numbers derived from an institutional formula that considers the availability of individuals prepared to contribute in a particular capacity. Legal parameters for affirmative action goals are not required by law, but can be court-imposed, mandated by executive order, or complied with voluntarily by the institution. Most institutions voluntarily commit to an affirmative action policy and develop comprehensive programs for recruitment and retention.

Often noted as a shortcoming of affirmative action policies in the workplace, however, is the fact that actions beyond the hiring stage are not prescribed, despite multiple court decisions and pieces of state and federal legislation. Many proponents of affirmative action underscore the idea that it is designed as only one of many tools for enhancing diverse workplace representation.

A tool that moves beyond the purview of federal compliance is a diversity program that incorporates affirmative action policy. These diversity programs encompass federal and state policy requirements outlined in affirmative action legislation and include appropriate organizational distribution, internal training, and retention strategies.

Survey Results

Questions in the survey asked how libraries gather affirmative action statistics, what types of recruitment practices were used, especially those for protected classes, and what methods were used to retain minority librarians. Of 120 ARL libraries polled in 1997, 43 responded to the survey. Initial comparisons with the 1990 survey indicate a leveling off in new and ongoing activity since the 1990 survey.

Statistics. Twenty-eight libraries reported that they regularly collect affirmative action statistics, while five of the responding institution do not collect statistics. Most institutions (25) collect data on an annual basis. For the majority of libraries (63 %), these statistics are gathered by the parent institution; for seven libraries, by the university Equal Employment Opportunity Office. In cases where data gathering is conducted in the library, more often than not the task falls to the human resources or personnel administrator.

Recruitment. A range of devices is used to ensure that protected classes are included in candidate pools. One of the most often used methods is to supply those involved in the hiring process with the candidates' race/ethnic identification through the campus Equal Employment Opportunity Office. However, 12 institutions indicate that they do nothing to determine that protected classes are included in candidate pools. Twenty-eight institutions

report that they target candidates from protected classes through the use of targeted mailings and invitation letters when positions are announced. Other approaches regularly used include maintaining a database of potential candidates, posting announcements on electronic lists with large minority participation, placing ads in publications with diverse audiences, using directories of professionals from protected classes, and making contacts at conferences. Out of 42 institutions responding to a question about the number of opportunity-program hires in the past five years, 27 indicated that they had none, while one institution indicated 13 hires.

Compliance. For the majority of respondents, compliance with affirmative action policies is the responsibility of the campus affirmative action officer. Out of the 41 libraries with a campus affirmative action officer, 36 receive regular support and training. Methods employed to train selection committees in affirmative action issues include manuals, the creation of library diversity committees, and workshops.

Retention. The following strategies are employed by the responding libraries to ensure that minority librarians are retained:

- mentoring programs
- salary adjustments
- counter offers
- sensitivity training
- diversity awareness programs
- new staff orientation

In determining whether the library is successful in recruiting and retaining minorities, the following strategies are in place:

- comparisons with ARL statistics
- comparisons with census data
- comparisons with campus data
- graduation rates
- setting and meeting goals

Trends and Emerging Patterns

Overall the findings are noteworthy because the 1990 survey indicated an increase in awareness of the need for and commitment to future development of affirmative action policies and programs. The possible plateau in activity, indicated in this survey from 1997, may point to the current uncertain political and social climate in the nation where the legality of affirmative action practices has been and continues to be tested. The various institutions of higher education are affected by this climate. While the larger society debates whether or not affirmative action is an appropriate mechanism for creating equitable markets, in libraries the pendulum may now swing from affirmative action, which targets selected groups that have been legally excluded from social, educational, and professional opportunities, towards diversity, which celebrates the unique and valuable contributions of every member of society.

This Flyer and Kit were compiled by Jennalyn Tellman and Joseph Diaz, University of Arizona Library, in collaboration with DeEtta Jones, ARL Program Officer for Diversity, as part of the OLMS Collaborative Research/ Writing Program.

*Groups protected by affirmative action legislation today include Asian/Pacific Islander, Black, Hispanic, American Indian/Native Alaskan, women from all ethnic backgrounds, and people with disabilities. Ethnic and racial groups are specifically addressed in terms of nondiscrimination in Executive Order No. 10,925, issued by President Kennedy in 1961. Sex, specifically referring to women, was a concept then incorporated into affirmative action practices by the Civil Rights Act of 1964. People with disabilities as a group were more fully recognized as being protected by the Americans with Disabilities Act of 1992. Other groups have, at particular points in time, been targeted for affirmative action programs. The G.I. Bill of 1941 is one example of affirmative measures being taken to incorporate a disenfranchised group into the mainstream of U.S. culture. Affirmative action has a history of fluid interpretation and development according to the societal needs of the time.

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Affirmative Action in ARL Libraries

A SPEC Kit compiled by

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University of Arizona

Jennalyn Tellman
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in collaboration with
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ARL Program Officer for Diversity

June 1998

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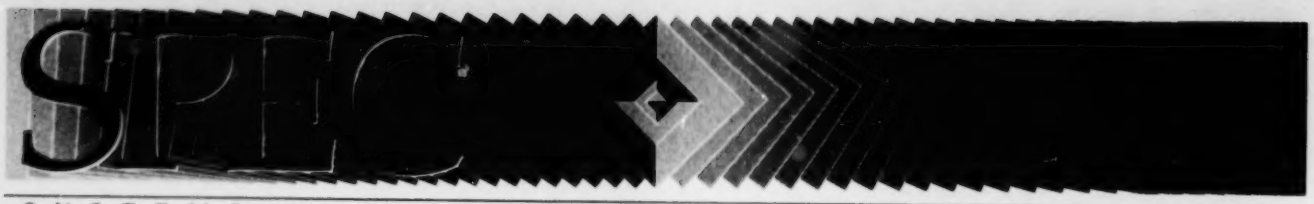

SYSTEMS AND PROCEDURES EXCHANGE CENTER

SURVEY RESULTS

ASSOCIATION OF RESEARCH LIBRARIES

May 5, 1997

TO: SPEC Liaisons

FROM: Jennalyn Tellman, University of Arizona
Barbara Allen, University of Arizona
Bob Diaz, University of Arizona
DeEtta Jones, ARL Program Officer for Diversity
Laura Rounds, OLMS Program Officer for Information Services

RE: SPEC Survey and Call for Documentation on Library and Institutional Affirmative Action Plans

Affirmative hiring practices, understood by many as preferential treatment based on protected class status, is one of the most hotly debated issues in higher education. The existence of Affirmative Action programs implies that institutionalized racism and sexism continue to be barriers in hiring and higher education admissions, an unfounded premise according to many opponents.

Recent court cases, such as *Hopwood v. State of Texas* (1966), have added yet another layer of ambiguity to Affirmative Action programs in higher education institutions currently employing standards set by the *Regents of University of California v. Bakke* (1978) decision. In *Bakke*, the Supreme Court issued its first major decision on Affirmative Action and established a precedent for using race as one of many factors in college and university admissions and hiring programs. These programs are now being called into question in light of the *Hopwood v. State of Texas* case and subsequent cases that challenge the use of race even as a "plus" in admissions programs.

The ARL Board and member institutions have requested an investigation and summary of current Affirmative Action programs, noting widespread feeling of vulnerability in implementing such programs in the midst of heated legal challenges. Collection and comparison of effective programs will: 1) provide models for libraries in the early stages of creating such programs; 2) offer wide distribution, highlighting ARL institutions' commitment to and leadership in the effort to abolish barriers to careers and study in library and information sciences; and 3) offer prudent language and strategies used to recruit a racially and ethnically diverse work force.

All supporting documentation is subject to inclusion in the resulting SPEC kit; please provide the best possible copy.

21 Dupont Circle
Washington, DC 20036
202 296 2296 telephone
202 872 0884 fax
http://www.arl.org/

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SPEC SURVEY: AFFIRMATIVE ACTION IN ARL LIBRARIES

The survey was sent to 120 ARL member libraries of which 108 are academic libraries. There were 43 complete responses. Please note: not every institution responded to each question.

STATISTICS

1. How often are Affirmative Action statistics compiled in your library?

Quarterly	3	07%
Annually	25	58%
Less frequently than once a year; specify how often:		
Every two years	1	02%
Semi-annually	2	05%
Periodically, as needed	6	14%
Not gathered	5	12%
Every five years	1	02%

2. Who compiles the Affirmative Action statistics for your library?

The library	18	42%
Another unit on your campus (skip to question 4)	27	63%

(Two reporting libraries compile statistics in the library and also have them compiled by another unit on campus.)

3. If the statistics are compiled in your library, who in the library is responsible?

An Affirmative Action committee	1	02%
A human resources or personnel officer	14	33%
Some other administrative officer	3	07%

RECRUITMENT

4. How do you ensure that protected classes are in a candidate pool at the time of hiring?

The hiring person(s) have access to candidates' race/ethnic identification	12	28%
The campus Affirmative Action committee or EEO office informs the person(s)of candidates' race/ethnic identification	12	28%
Nothing is done to confirm that protected classes are in a candidate pool at the time of hiring	12	28%
Best guess	5	12%
Advertise widely	2	05%

5. Do you recruit at the time of the position announcement by target mailings with letters of invitation to apply?

Yes (e.g., ads placed in ethnic publications or mailings to target institutions)	28	65%
No	16	37%

6. Check all that apply. Which protected classes do you target?

Asian-American	30	70%
Pacific Islander	22	51%
Hispanics	32	74%
Native Americans	25	58%
African-Americans	36	84%
All but Native Americans	2	05%

7. Do you maintain a database of potential candidates in protected classes?

Yes	6	14%
No (skip to question 9)	40	93%

(One library which answered yes for question 7 did not respond to question 8)

8. Check all that apply. Which protected classes do you have in your database?

Asian-American	5	12%
Pacific Islander	5	12%
Hispanics	5	12%
Native Americans	5	12%
African-Americans	5	12%

9. Do you post position announcements on listservs with large numbers of minority participants?

Yes	23	53%
No	18	42%
Posted on listservs appropriate to the position	4	09%

10. Check all that apply. For which protected classes do you have or use listservs?

Asian-American	10	23%
Pacific Islander	7	16%
Hispanics	18	42%
Native Americans	10	23%
African-Americans	21	49%

11. Do you use other methods?

Yes; please specify.	26	60%
No	9	21%
Other methods:		
Targeted mailings	4	09%
Use directories of ethnic professionals	1	02%
Phone calls	2	05%
Contacts at conferences	5	12%
National publications	2	05%
Deans of library schools	2	05%
Specific minority organizations, institutions, or publications	16	37%
Listservs	3	07%
Major newspapers	1	02%
Ads sent to all ALA member institutions	1	02%

12. How often has your library had a target of opportunity program hire within the last five years?

Zero times	27	63%
One time	4	09%
Two times	4	09%
Three times	1	02%
Four times	4	09%
Nine times	1	02%
Thirteen times	1	02%
Don't understand question	2	05%

13. Do you assist with job placement for spouses/domestic partners?

Yes	22	51%
No	21	49%

Compliance

14. How are selection committees trained in Affirmative Action issues?

By a library committee	4	09%
By a campus Affirmative Action officer	8	17%
By another unit on campus	4	09%
By being given a manual to read	10	23%
By other methods? Please describe. (Some libraries reported such other methods as workshops or instruction by HR or other library personnel)	20	47%
Not trained	5	12%

15. Is there a campus Affirmative Action officer?

Yes	41	95%
No (skip to question 19)		

16. How often does the campus Affirmative Action officer meet with the library?

As needed	11	26%
1-5 times a year	10	23%
Less often than once a year	9	21%
Campus Affirmative Action officer does not meet with the library	12	28%

17. Does the officer give support and training to the library?

Yes	36	84%
No	5	12%

18. Does the campus officer enforce compliance?

Yes	36	84%
No	5	12%

19. Does the library report Affirmative Action data to a campus officer?

Yes	40	93%
No	3	07%

RETENTION

20. Check all that apply. How do you ensure that minority librarians are retained?

By a mentoring program	17	40%
By salary adjustments	12	28%
By counter offers	9	21%
By sensitivity training for other library staff	11	26%
By a diversity program	17	40%
By connecting new hires with other groups on campus or in the community?	21	49%
By other methods; please specify.	2	05%
No program at all	1	02%
New staff orientation	1	02%
Monitoring departures	1	02%

21. How do you determine if your library is successful in affirmative action recruitment and retention? Check all that apply.

By comparing with ARL statistics	22	51%
By comparing with census data	12	28%
By other methods; please specify.	11	26%
No program	4	09%
Setting goals and meeting them	3	07%
University data comparison	6	14%
Graduation rates	1	02%
Local data comparison	1	02%

RESPONDING INSTITUTIONS

University of Alabama
University of Arizona
Arizona State University
University of British Columbia
Brown University
University of California–Irvine
University of California–Riverside
University of California–Santa Barbara
University of Colorado
Colorado State University
Columbia University
Georgetown University
Georgia Institute of Technology
University of Hawaii
University of Illinois at Chicago
University of Illinois at Urbana
Indiana University
Iowa State University
Johns Hopkins University
University of Kentucky
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Ohio State University
Oklahoma State University
University of Oregon
University of Pittsburgh
Purdue University
Rice University
Rutgers University
Smithsonian Institution
University of Southern California
State University of New York at Albany
University of Tennessee
University of Texas
Tulane University
Virginia Polytechnic Institute and State University
Washington University
Wayne State University

REPRESENTATIVE DOCUMENTS

AFFIRMATIVE ACTION PLAN

UNIVERSITY LIBRARY

UNIVERSITY OF ARIZONA

1995-96

University Library Affirmative Action Committee
Members: Barbara Allen, Bob Diaz, Gene Hsiao, Martina Johansen, Cheryl Neal, Jen Tellman,

For additional information on Affirmative Action at the University of Arizona or in the University Library, contact the Assistant Vice President for Affirmative Action, Affirmative Action Office, University Services Building, 219, 888 N. Euclid, Tucson, AZ 85721-0158, (520) 621-3081 or the Dean of Libraries, University Library, University of Arizona, 1510 E University, Tucson, AZ 85720-0055

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F. Guidelines for Selection Advisory Committees (PPM 2-88, rev. 5/15/94)

G. Memorandum of September 6, 1993 re: Hiring of Classified Staff.

H. Guidelines for Supervisors in Achieving Affirmative Action Goals in the Library Classified Staff Work Force (PPM 1-90)

I. REAFFIRMATION OF AFFIRMATIVE ACTION POLICY:

A. Reaffirmation of Equal Opportunity and Affirmative Action from the Arizona Board of Regents

B. Reaffirmation of Policy from the Office of the President.

C. Reaffirmation of Policy from the Dean of Libraries.

ARIZONA BOARD OF REGENTS
2020 NORTH CENTRAL, SUITE 230
PHOENIX, ARIZONA 85004-4593
(602) 229-2500

January 1, 1996

REAFFIRMATION OF EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION

The mission of the Arizona Board of Regents is to develop and maintain an outstanding university system that meets the expanding and diverse teaching, research and public service needs of the citizens of Arizona. To accomplish this mission, the Arizona Board of Regents and the three state universities under its governance, the University of Arizona, Arizona State University and Northern Arizona University, recognize that culturally diverse student bodies, faculties, administrators and staffs are a necessary condition for continued excellence.

The Board is commited to provide a work and educational environment of excellence for all qualified persons. We guarantee equal opportunity in all personnel, student and sponsored programs and activities regardless of race, color, religion, sex, age, national origin, disability, special disabled veteran or Vietnam Era Veteran status.

The Board reaffirms its commitment to addressing cultural diversity within the student bodies and workforce in the Arizona University System. The board engages in affirmative action in order to attract and retain women and ethnic minorities who have been underrepresented in our student bodies and workforce. Continuing affirmative efforts in such activities as recruitment, selection, training, promotion, compensation, benefits, admissions, advising, housing, and student financial assistance are necessary to achieve and reflect the cultural diversity of the public community we serve.

The Board and the three state universities have undertaken major initiatives to address cultural diversity. Recommendations from the Task Force on Excellence, Efficiency and Competitiveness, the Ad Hoc Committee on University Access and Retention, and the Commission on the Status of Women are regularly monitored for continuing effectiveness.

Each of us, in the Arizona University System has an important role in contributing toward building an educational and work environment that fosters and values cultural diversity. By reaffirming our commitment to practice equal opportunity and affirmative action in all our educational and work activities we will collectively create a model public university system that is accessible to everyone, invites everyone to participate and reflects the multicultural richness of the communities it serves.

Eddie Basha, President

THE UNIVERSITY OF
ARIZONA.
TUCSON ARIZONA

February 7, 1996

REAFFIRMATION OF POLICY

The University of Arizona is determined to maintain itself as an institution of academic excellence and high quality. Implicit in that objective is a commitment to maintaining an environment free from illegal discrimination, sexual harassment and retaliation. The University of Arizona is committed to both Equal Opportunity and Affirmative Action and is determined to maintain those principles for all students and for all employees and other individuals participating in University-affiliated activities. The University is committed to meeting the provisions of federal and state laws and University policies which apply to employment and admission to any University program. The University prohibits discrimination on the basis of age, color, disability, ethnicity, gender, national origin, religion, sexual orientation or veteran's status.

Equal opportunity refers to the right of individuals to be judged on the basis of relevant training, skills, experience, and performance, and not on criteria irrelevant to their ability to meet performance standards. Affirmative action involves a special effort to search for qualified women and minority candidates. Affirmative action ensures that qualified candidates from previously excluded groups are given equal opportunity for consideration for available positions. University policy prohibits hiring unqualified individuals. When a women or minority candidate is as substantially equally qualified as other candidates and when there is underutilization of persons in that category in the employment unit, then University policy favors selecting the member of the underrepresented group.

I have delegated the responsibility for helping to ensure nondiscriminatory practices, for eliminating and preventing sexual harassment and retaliation, and for fostering affirmative action to the Vice Presidents, the Associate Vice President for Affirmative Action, Deans, Directors, Department Heads, and every person with supervisory responsibility throughout the University. These administrators are responsible for implementing our Affirmative Action Plan and for ensuring that equal opportunity and affirmative action are practiced in all personnel, student and other activities throughout their areas of responsibility. Annual evaluations of Vice Presidents, Deans, Directors, and Department Heads are to include measurement of progress in meeting equal opportunity and affirmative goals.

Manuel T. Pacheco
President

University Library
Office of the Dean

THE UNIVERSITY OF
ARIZONA.
TUCSON ARIZONA

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FAX (520) 621-9733

23 September 1996

MEMORANDUM

TO: All Library Employees

FROM: Carla J. Stoffle, Dean of Libraries

RE: Affirmative Action

All Library employees should be aware that the University of Arizona Library and all of its constituent parts are committed to a comprehensive plan of affirmative action for the hiring and retention of all library employees. This commitment involves each of us. It extends to every new hire and to all employee programs as well as to the creation of an environment that is hospitable and supportive of all categories of employees identified as underrepresented or protected by the Affirmative Action Office and the campus Affirmative Action Plan.

The Library's Affirmative Action Plan, of which this memorandum is a part, will be the basic document upon which the Library's efforts rest. All employees, especially all supervisors, should read it carefully and consider it thoughtfully. The Affirmative Action Plan should be fully integrated into the everyday operations to the Library system. The goals identified by this plan are minimums, not maximums, and every search team will be expected to follow the University guidelines and act affirmatively in each and every hire.

If there are any questions or special concerns about any aspect of the plan or its implementation, please contact Assistant to the Dean for Diversity Bob Diaz, the Affirmative Action Committee, and or myself.

CJS/kg

II. CHARGE OF THE UNIVERSITY LIBRARY AFFIRMATIVE ACTION COMMITTEE (revised 10/94)

The University Library Affirmative Action Committee will be responsible for assisting the U of A Affirmative Action Officer, the Dean of Libraries, Selection and Selection Advisory Committees, and others involved in the hiring process to fulfill Affirmative Action goals and in the recruitment, retention, and promotion of library staff.

To fulfill these goals, the Affirmative Action Committee will seek:

1. To inform all library staff about equal opportunity and affirmative action guidelines in relation to affirmative action policies and procedures;

2. To serve as a liaison with the University Human Resources Department, the University Affirmative Action Office and the Library's Assistant Dean for Finance and Human Resources;

3. To compile facts and statistical data about library staff recruitment, employment, retention, and promotion in relation to affirmative action goals;

4. Recognizing that the Affirmative Action Committee is not a body to handle grievances, therefore, to refer employees to appropriate offices to seek information and policies on affirmative action at the University of Arizona.

III. ANNUAL REPORT OF THE UNIVERSITY LIBRARY AFFIRMATIVE ACTION COMMITTEE

A. Met with former members of the Library Affirmative Action Committee to go over our charge and pass on information. (Most committee members were new.)

B. Discussed with the Assistant to the Dean for Staff Development, Recruitment and Diversity (chairperson of committee) expectations for the committee and possible changes in reporting AA statistics and detail of statistics. Some of these changes included:
   * once per year AA statistical report
   * promotions (sep)
   * new hires (sep)
   * rank / job family
   * total breakdown of minorities
   * Library Administration

C. Committee members attended a training session with Helen Mautner of the University Affirmative Action office. In the session, she reviewed basic laws relating to Affirmative Action, reviewed Equal Opportunity vs. Affirmative Action, utilization, AA hiring, quotas vs. goals and discrimination vs. unfair practices.

D. Had a teambuilding session for the team and came up with timeline for our work throughout the year.

E. Met with the Assistant Dean for Finance and Human Resources to clarify why information submitted through voluntary affirmative action reply forms must remain confidential. This is to maintain confidentiality.

F. Met with all Selection and Selection Advisory Committees to review guidelines.

G. Compiled statistics for Librarians, Administrative Professionals and Classified Staff in May.

IV. DISSEMINATION OF AFFIRMATIVE ACTION POLICY:

A. The University of Arizona Library disseminates Equal Employment Opportunity / Affirmative Action policy internally as follows:

1. Current editions of the University of Arizona Affirmative Action Plan, the University of Arizona Guidelines for Recruitment and Hiring: Administrators, Faculty, and Professionals, and the University Library Affirmative Action Plan are maintained on file in the Library's Office of the Dean and the office of the Assistant Dean for Finance and Human Resources.

2. The Dean of Libraries and the Assistant Dean for Finance and Human Resources communicate and disseminate information related to the University's policy and procedures on Equal Employment Opportunity and Affirmative Action to all staff.

3. University Library Dean's Cabinet members communicate and disseminate policy on Equal Employment Opportunity and Affirmative Action to staff. All supervisory personnel are responsible for making members of their team aware of the University's policy and procedures on Equal Employment Opportunity and Affirmative Action.

4. The University Library Affirmative Action Committee promotes Equal Employment Opportunity and Affirmative Action. In particular, the Committee monitors relevant numbers and percentages in the

compilation of the annual statistical report, advises Selection/Selection Advisory committees on current affirmative action policy and procedures, updates the Affirmative Action Plan, and performs other duties delegated by the Dean of Libraries.

B. The University of Arizona Library disseminates EEO/AA policy externally as follows:

1. Position announcements and advertisements are distributed to other libraries, graduate library schools, appropriate professional publications and electronic listservs. In all announcements, advertisements, and other related materials, specific statements clarify the University Library's emphasis on the importance of a diverse workforce.

2. The University Library incorporates appropriate EEO/AA terminology in a variety of "external" documents, including contracts, leases, purchase order forms, and other business agreements to which the Library is a party.

V. RESPONSIBILITY FOR IMPLEMENTATION OF AFFIRMATIVE ACTION POLICY:

A. Authority:

1. The President of the University of Arizona is responsible for the implementation of the University of Arizona's equal opportunity and affirmative action program. The President has delegated authority and responsibility for implementation of the plan to individuals throughout the University.

2. Specific responsibility for developing, monitoring, and recommending improvements to the University of Arizona's equal opportunity and affirmative action programs has been delegated to the Associate Vice President for Affirmative Action, who reports to the President. For details, please refer to the University Affirmative Action Plan.

3. It is the responsibility of the President, Senior Vice Presidents, Vice Presidents, and Vice Provosts to ensure that each Dean, Director, Department Head, Supervisor, Manager and Administrator implements the University Affirmative Action Plan. These administrators also have responsibility for ensuring that personnel actions are consistent with equal employment opportunity and affirmative action policy. For details, please refer to the University Affirmative Action Plan.

4. All management staff share the responsibility of implementing the program objective outlined in the University Affirmative Action Plan.

Management, through orientation and discussion, advises subordinate managers and supervisors of their responsibilities to execute the equal employment opportunity and affirmative action policy on a day-to-day basis and include their responsibilities to prohibit and guard against retaliatory actions taken against employees who bring to the attention of managers in the chain of authority, issues and problems regarding equal employment and affirmative action. Explicit in management's responsibility is the understanding that their work performance is being evaluated through the annual performance evaluation process on the basis of their equal opportunity and affirmative action efforts reflecting the University affirmative action goals.

B. Responsibilities of the Dean of Libraries:

1. The Dean of Libraries is responsible for the implementation of equal employment opportunity and affirmative action policies and procedures and for progress toward the goals and objectives stated in the University Affirmative Action Plan and the University Library Affirmative Action Plan. Responsibilities include, but are not limited to, the following activities: formulate and develop the Library's Equal Employment Opportunity and Affirmative Action policy and programs; monitor the effective implementation of EEO/AA policy and programs in all teams of the Library; assist the University in the identification of problem areas and recommend solutions to these problems; assist the University in the development and implementation of a personnel system to record and report all EEO/AA activity in the Library; develop and execute an internal audit methodology to measure the effectiveness of the program goals and objectives; apply this methodology to indicate the need for remedial action or other appropriate action.

2. In addition, the Dean of Libraries serves as a liaison between the University Library and the University Affirmative Action Office.

3. In personnel and associated decisions, the Dean of Libraries is guided by the University's principles and objectives in activities related to recruitment, determination of qualifications, advertising, interview practices, recommendations to hire, education and training, salary and other benefits, and promotion and tenure. Refer to the University Affirmative Action Plan for full explanations of these principles and objectives.

C. Responsibilities of all Employees

1. Employees as well as managers have roles to play in the successful implementation of the Affirmative Action Plan. Employees are

encouraged to bring general or specific equal employment opportunity or affirmative action problems to the attention of their supervisors, management staff, or to the Affirmative Action Office. University policy prohibits harassment of or retaliation against employees for assisting management or other responsible officials in identifying equal employment opportunity or affirmative action issues/problems.

VI. WORKFORCE UTILIZATION ANALYSES FOR STAFF IN THE UNIVERSITY LIBRARY:

A. A statistical snapshot is compiled annually by the Affirmative Action Committee. Numbers and percentages are calculated for different groups to measure relative progress toward particular goals. A copy of the current snapshot is included in Section VIII.

1. Minority classified staff numbers and percentages for the University Library are compared to availability statistics, the 1990 Census for Skills in the Local Area by job group as compiled by the University Affirmative Action Office. They are calculated for Native Americans, African Americans, Asian/Pacific Islanders and Hispanics.

2. Professional staff are compared to availability statistics, number of M.L.S. degrees awarded and the 1990 Census of Librarians, Archivists and Curators. Also included are comparative statistics, available from the American Library Association and Association of Research Libraries. Temporary librarians are not included in these calculations.

B. For professional and classified positions, statistical data on race/ethnicity and sex are compiled by the Assistant Dean for Finance and Human Resources. These data are maintained on file in the Central Business Operations Office.

C. For professional positions, statistical data and other records compiled in the total selection process for positions filled are maintained on file in the Central Business Operations Office. Other relevant information compiled and maintained include: position announcements, position descriptions, position advertisements, applicant vitae, and other materials related to the employment of professional personnel.

D. At the University level, all employees fall into specific EEO-6 job categories. Statistical data are compiled and compared for these categories. Professional staff are included in Job Group 320, or Librarians, Archivists, and Curators. This job group includes positions such as librarian, curator, and archivist. These positions require a graduate degree in library science or other appropriate degree. Classified staff are included under the "paraprofessional and technical" job groups. For additional information, refer to the University

Affirmative Action Plan.

VII. PROGRESS TOWARD A DIVERSE WORKFORCE

A. The University Library strives to attain a diverse workforce that reflects the populations of prospective employees. Classified staff are recruited from the local market (Pima County) and need to reflect local availability data. Currently classified staff are compared to availability statistics, 1990 Census for Skills in the Local Area. Professional staff are recruited from the national market and need to reflect national availability data. Currently, professional staff are compared to availability statistics, number of M.L.S. degrees awarded and the 1990 Census for Librarians, Archivists, and Curators. In addition, professional staff are compared to representative data in national associations such as the Association of Research Libraries (ARL) and the American Library Association (ALA).

B. If underutilization in specific groups or categories is evident, goals and timetables to rectify underutilization will be formulated by the Dean of Libraries.

C. Classified Staff in the University Library:

1. As of May 1996, there are 138 classified staff; 41 (or 29.7%) of these are members of minority groups. This year, in order to be consistent with University Affirmative Action statistics, individual job groups within the classified library staff were broken down separately and compared with data from the 1990 Census ("Skills in local area"). In most job groups, the library exceeds by 5-35% in total minority percentages. The notable exceptions are in job groups:

   328 - Academic Program Coordinators (library has 3) 1990 Census - 15.4% minorities UA Library - 0%.

   432 - Records Processing Clerks (Library Assistant, Library Specialist - library has 85) 1990 Census - 34.8% minorities UA Library - 25.5%.

   538 - Technicians (Support Systems Analyst, Photographer - library has 6) 1990 Census - 20.9% minorities UA Library - 16.7%.

   The Library has 138 classified staff. The total percentage of minority staff has fallen (from 33% to 29.7%). Current numbers for specific categories are: African American =4; Asian American = 4; Hispanic = 27; Native American = 6.

2. The University Library will continue to advertise open classified positions either internally (within the library system) and/or externally

(with the Human Resources Department).

3. The University Library Affirmative Action Committee will continue to monitor numbers and percentages of classified hires, with a focus on protected classes.

D. Professional Staff in the University Library

1. As of May 1996, there are 60 professionals; 11 (or 18%) of these are minority professionals; and 41 (or 67.2%) are women professionals. The percentage of women professionals is just above the ARL percentage (or 64.6%). Since April 1991, while the number of female professionals has decreased from 52 to 41, the percentage of female professionals in the Library has risen from 63.4% in 1991 to 68.3% in 1995. (The decrease in the total number is due to two things: librarians on temporary appointment are no longer counted in the statistics, and there has been a decrease in the number of available professional positions in the Library overall).

2. Efforts to recruit and *retain* additional minority professionals need to continue. While the University Library has 18.3% professional minorities compared to the ARL average of 11.3%, and the ALA average of 12.33% (1991), it lags behind when individual minority groups are taken into account. Specifically, the University Library needs to recruit more African Americans and Native Americans into its professional ranks, since the Library is underrepresented in these areas. Current members of minority professionals in the University Library include: Native Americans = 0; African Americans = 2; Hispanics = 5; and Asian Americans = 4.

3. As the percentage of women professionals is essentially equivalent to the percentages in other ARL libraries, this number needs to be maintained.

4. The University Library will continue to advertise open professional positions locally in newspapers and nationally in appropriate professional publications and listservs.

5. The University Library will continue to provide essential orientation for selection/selection advisory committees.

6. The University Library Affirmative Action Committee will continue to monitor numbers and percentages of professional hires, with a focus on protected classes. Additionally, retention and promotion of minorities and women will be monitored.

E. The "Affirmative Action Guidelines for Selection/Selection Advisory Committees", revised in 1994, will continue to be reviewed at the initial meeting of Selection/Selection Advisory Committees. (A copy is included in the Appendix.)

F. Library Policy and Procedure Memorandum #2-88 "Guidelines for Selection Advisory Committees" (revised 5/15/91) and Dean Stoffle's memorandum of 1/6/94 "Recruitment Process for Filling Vacant Librarian Positions" are in effect for the hiring of professional staff. (A copy is included in the Appendix.)

G. Library Policy and Procedure Memorandum #1-90 "Guidelines for Supervisors in Achieving Affirmative Action Goals in the Library Classified Staff Workforce" and an additional memorandum of 9/3/93 "Hiring of Classified Staff" are in effect for hiring of classified staff. (A copy is included in the Appendix.)

H. The Assistant to the Dean for Staff Development, Recruitment and Diversity maintains a list of potential minority professional recruits. In addition, with the cooperation of the Graduate Library School (GLS), a list of minority students enrolled at the GLS has been compiled and will be updated regularly for the purposes of recruitment.

VIII. UNIVERSITY LIBRARY AFFIRMATIVE ACTION STATISTICS

A. Affirmative Action Availability and Comparative Statistics for Librarians

B. UA Library Academic Professionals Affirmative Action Statistics by Library Rank

C. Classified Staff & Professional Non-Librarians Affirmative Action Availability Statistics by Job Group

D. Classified Staff Affirmative Action Availability Statistics by Library Position

IX. GOALS AND STRATEGIES FOR THE FUTURE

A. Goals for the Affirmative Action Committee for 1996-97.

1. Make presentation to an All-Staff meeting, reviewing the Affirmative Action snapshot compiled in December.

2. Incorporate any comments or ideas the committee receives from staff on the snapshot (the comparative statistics used are new for both the classified and professional staff).

3. Revise the 1995/96 Affirmative Action Plan.

4. Finish compiling the Affirmative Action Committee Manual.

X. Supportive Programs as Elements of the University Library Affirmative Action Plan:

A. University Library Affirmative Action Committee: The Dean of Libraries interacts with the University Library Affirmative Action Committee. Members of the Affirmative Action Committee are appointed by the Dean of Libraries. Additionally, the nature and scope of the Affirmative Action Committee's responsibilities are defined by the Dean of Libraries. The Affirmative Action Committee reviews and interprets policies and procedures related to Equal Employment Opportunity (EEO) and Affirmative Action (AA) and makes recommendations to the Dean of Libraries. (Refer to the original charge of the Affirmative Action Committee in Section II.)

B. Diversity Council: The Dean of Libraries interacts with the Diversity Council. Members of the Diversity Council are appointed by the Dean of Libraries. Additionally, the nature and scope of the Diversity Council responsibilities are defined by the Dean of Libraries. Initiatives to progress toward a diverse workplace are evaluated by the Diversity Council.

Arizona State University
Office of Equal Opportunity/Affirmative Action

RECRUITMENT HANDBOOK

INTRODUCTION

It is the policy of Arizona State University to provide equal opportunity through affirmative action in employment and educational programs and activities. Discrimination is prohibited on the basis of race, color, religion, national origin, citizenship, sex, sexual orientation, age, disability, or special disabled/Vietnam era veteran status. Equal employment opportunity includes but is not limited to: recruitment, hiring, promotion, termination, compensation, benefits, transfers, university-sponsored training, education, tuition assistance, and social and recreational programs.

ASU is committed to taking affirmative action in increasing opportunities at all levels of employment and to increasing participation in programs and activities by all faculty, staff and students. Affirmative action is directed toward minority persons, women, Vietnam era veterans and persons with disabilities.

Affirmative action activities are those positive steps taken to ensure the provision of equal opportunities. Equal employment opportunity ensures that applicants for positions and employees are treated consistently with respect to policies and procedures. The factors cited above should not be considered in the employment process or in determining conditions of employment. It is, however, appropriate to take affirmative action by selecting the candidate from the under-represented category when candidates are substantially equally qualified for a position.

The following pages provide guidelines to assist departments in taking affirmative action to provide equal employment opportunity. Additionally, the EO/AA Office monitors the recruitment process at three stages to help departments in their affirmative efforts. The monitoring process consists of the following:

1. Before advertisement - The EO/AA Office reviews the advertisement to ensure minimum qualifications are bona fide occupational qualifications under federal guidelines. The search process is reviewed to assure recruitment includes appropriate notification of vacancies to protected class members. The review is also to assure general compliance with university requirements for recruitment including the identification of the essential job functions.

2. Before interviews - This review is to ensure consistent application of job related criteria and the advertised qualifications in selecting candidates for interview. The EO/AA office compares the information on the Hiring Process Report Approval to Interview (HPR-I) or Applicant List (AL) form to the applicant's resume and the job qualifications. For example, the absence of a "preferred" qualification can be the reason an applicant is not selected for interview as long as all applicants to be interviewed possess the "preferred" qualification; or, if a minimum qualification includes "experience" and two years of experience is insufficient for one applicant it must be insufficient for all applicants.

3. Before offer of employment - The last review is to ensure the reasons interviewees are not selected for hire are job related. Decisions must be based on job related criteria rather than such subjective factors as appearance or personality.

The EO/AA Office goal is to assist departments in their good faith efforts to hire well qualified individuals who are representative of the diverse labor supply. Providing reasons for decisions at the time the decisions are made during recruitment and having an EO/AA review is important in assuring equal employment opportunity through affirmative action.

AFFIRMATIVE STEPS IN RECRUITMENT

A. Recruitment Guidelines

The primary focus of recruitment is to employ persons with qualifications which enhance the University's commitment to academic excellence. Equally important is the University's commitment to taking affirmative action in providing equal employment opportunity, to employing a workforce which is representative of the available labor supply, and employing a workforce reflective of the diversity within the community. In order to assure a representative workforce, conscious and affirmative efforts must be made to recruit and employ members of the protected classes (i.e. minority persons, persons with disabilities, women, and special disabled/Vietnam era veterans). Additionally, the University does not discriminate in the recruitment and employment of persons based on the following factors: age, color, religion, national origin, citizenship, race, sex, sexual orientation, disability, or special disabled/Vietnam era veteran status. The key to providing equal employment opportunity is to be consistent in the treatment of applicants at each stage of the recruitment process.

Affirmative action in providing equal employment opportunity must include, but is not limited to, the following activities:

1) Analyze current workforce composition of department.

Departments receive labor availability data in the fall of each year. After review, the data are used in determining hiring goals. In February, departments receive notification of their hiring goals for the calendar year. These information sources should be used to help in determining department personnel needs and requirements.

2) Maintain an up-to-date recruitment resource list.

The resource list must include, but is not limited to, colleges and universities, publications, professional organizations, agencies and individuals which aid the recruitment of members of the protected classes. Departments must advertise vacancies in ways which ensure contact with members of the protected classes.

3) Be selective when notifying people and places about vacancies.

There is no requirement to notify all institutions which offer a specified degree, nor must an ad be placed in every available journal. When being selective in recruitment, however, departments must be sure to include organizations, schools, publications, etc. which will assure notification of vacancies to members of the protected classes.

4) Post notice of vacancies on department and/or college bulletin boards.

5) Notify the following agencies of vacancies when recruitment is conducted locally or regionally:

Campus women, minority, disabled, veteran offices/organizations

Phoenix OIC	Hispanic Women's Corp.	Phoenix Urban League
Center for New Directions	Chicanos Por La Causa	AZ Foundation for the Handicapped
Maricopa Skill Center	Veterans Medical Center	Phoenix Job Corps Center
Phoenix Indian Center	Inter Tribal Council of AZ	
Tempe Ctr. for Habilitation		

The EO/AA Office maintains an up-to-date referral list of on- and off-campus referral resources. Copies are available upon request.

6) To minimize the potential for losing applicants (because they've taken jobs elsewhere), decisions on who to interview should be made as soon as possible after the application deadline. If delays in making this determination are unavoidable, keep all applicants informed of the time frame for the selection process as encouragement for remaining in the applicant pool.

7) Contact the Director, EO/AA for assistance in identifying schools, agencies, etc. which will aid recruitment of members of the protected classes.

B. Announcement of Vacancies

Announcements of vacancies should be written to provide potential applicants with as much information as possible about the essential functions of the position, the qualifications for the position and the application procedures for the position.

Affirmative steps in developing announcements of vacancies must include, but are not limited to, the following:

1) The Announcement of Vacancy (AV) for faculty/academic professional positions OR the Staff Requisition (SR) for administrative/classified/service professional positions must be completed. The essential job functions must be listed on the form. The essential functions are those core or required duties of a position as opposed to marginal responsibilities of a position. The following factors should be used in determining essential functions:

a. The reason the job exists is to perform that function.

b. There are a limited number of employees available among whom the performance of that job function can be distributed.

c. The function may be highly specialized so that the person is hired for his/her expertise or ability to perform the particular function.

d. The employer's judgment as to which functions are essential.

e. The amount of time spent on the job performing the specific function.

f. The consequences of not requiring the incumbent to perform the function.

g. The work experience of past incumbents in the job.

h. The current work experience of incumbents in similar jobs.

2) Advertisement copy must include but is not limited to:
title of position
status of position (for faculty positions, e.g., tenure-track)
experience, education, skills, etc. required and/or desired
application materials required
name and address of contact person/department
a statement indicating ASU is an equal opportunity/affirmative action employer

Advertisement copy MUST match the AV or SR on qualifications required/desired, application deadline, application materials required, and contact person/department.

3) In determining qualifications for a position, departments should carefully analyze the essential functions of a position. After this determination, an assessment of the skills, experiences, education, etc.

needed to perform these functions should be made. Qualifications for a position must be only those which are necessary to adequately fulfill the responsibilities of a position. Once positions are advertised, departments are limited to evaluating applicants on the basis of the advertised qualifications. Qualifications for classified staff positions must contain the minimum qualifications in the Arizona Universities Classification/Compensation System job descriptions. Qualifications for administrative/service professional positions must contain the minimum qualifications approved in the ASU position classification system.

4) It is best to be as explicit as possible when listing qualifications for positions. When a specific degree requirement is advertised, departments must hire someone who possesses the specific degree. For example, a person in ABD status would not be acceptable for a position requiring a PhD **unless the department had assurance from the degree granting university that the degree would be completed by the time employment was to begin. In this case, hiring someone who does not have the degree in hand when employment begins is in violation of the University's EO/AA policy. The EO/AA office requires written proof that an "expected" degree will be in hand by the time employment begins.** When seeking experienced applicants for positions, departments must be specific about the length of the experience and the nature of the experience required or desired. For example, if teaching experience is required but a department will not accept graduate student teaching experience, the position description should indicate what type of teaching experience is required. In seeking administrative experience, a department should indicate what type of administrative experience is desired (i.e. fiscal management and planning, personnel management, program development and implementation, etc.).

5) When stating qualifications, departments must indicate which qualifications are required and which are desired. Position descriptions must indicate the minimum required qualifications. It is unacceptable to state only "desired" qualifications because applicants are not adequately informed of what credentials a department will actually accept.

6) It is essential every position be advertised with an application deadline. Departments with a history of recruiting difficulties may advertise two deadlines to avoid the expense and time problems associated with reopening and readvertising a position. An example of an acceptable deadline statement would be: "Application deadline is March 1; if position is not filled, applications will be accepted until May 1." A department may also advertise a "rolling" deadline such as "Application deadline is March 1 or if position not filled, the first of each month thereafter until filled." As a general rule, the minimum time a position must be left open for recruitment is listed below. The periods listed are from the time an ad appears or a notice is received by a recruitment source until the application deadline.

Faculty/Academic Professional	Administrative/Classified/Service Professional
Local searches - 5 days	Local searches - 5 days
Regional searches - 5 days	Regional searches - 5 days
National searches - 30 days	National searches - 30 days

If departments require letters of reference as a part of the application material, more time than that mentioned above should be provided for applicants to respond to announcements. It is desirable under any circumstances to provide more than the minimum times mentioned for the recruitment period.

7) The application materials required for a position must be stated in the Announcement of Vacancy and ad copy. For example, if a department wants a letter of application as well as a resume or vita, it should be stated. Departments must also be specific about the number of references sought as well as whether letters of reference or names and addresses of references are sought as part of the application process. Asking for letters of reference as part of the application process means the letters must be postmarked and/or received by the application deadline to be acceptable in determining whether the

application is complete. If the ASU application form is required, references need not be mentioned since they are requested on the application form.

8) It is a federal, affirmative action regulation requirement that each vacancy notice and advertisement contain some statement indicating the University is an equal employment opportunity employer. Acceptable statements include: "Arizona State University is an equal opportunity/affirmative action employer", "ASU is an EO/AA employer", or "AA/EOE." Departments may wish to go beyond this statement to encourage diversity. An additional statement such as the following may be added: "ASU actively seeks diversity among applicants and promotes a diverse workforce."

C. Search Committees

Search committees are frequently used in the application evaluation process and in the interviewing process. There is no affirmative action requirement for using a search committee although University policy requires use of search committees in some cases (see ACD/ACDW 505-04 and SPP 201). The benefits of using a search committee, however, include: multiple evaluations of applicants which provide greater opportunity for overall consistency of interpretation of credentials; employee participation in the hiring process; and more thorough screening of applications.

Affirmative steps for the hiring authority to take in the development and use of search committees must include, but are not limited to the following:

1) Search committees should be composed of persons who are knowledgeable about the duties and responsibilities of the position being filled. Each search committee member should have a copy of the advertised job announcement.

2) It is always desirable for search committees to include members of the protected classes. Administrative/service professional staff search committees must include women and minority persons per SPP 201. Faculty and academic professional search committees must include a trained faculty or academic professional (depending on the vacancy) affirmative action representative per ACD/ACDW 111 and 505-04.

3) Search committees should be limited to three to five persons. Larger search committees are too frequently unable to adequately respond to the need for timely reviews, maintaining confidentiality, and reaching consensus on the evaluation of applications.

4) The initial meeting of the search committee should be used to develop appropriate procedures for the application review process and to assign responsibilities to each committee member (i.e. persons who will check references, persons who will correspond with applicants if additional information is needed, persons responsible for assuring compliance with affirmative action requirements, etc.).

5) Search committees should develop application rating sheets, interview questions and procedures, interview rating sheets, etc. prior to reviewing applications. Search committees which plan tasks, procedures, etc. before reviewing applications will operate more efficiently and effectively and thus better assure equal treatment of all applicants.

6) Reviews of applications and reference checking should be conducted as expeditiously as possible. Delays by search committees increase the possibility candidates will be unavailable to accept positions at Arizona State University.

7) See "Guidelines on Employee Selection" for other issues search committees should be familiar with before beginning the search process.

D. Extending/Reopening Searches

When an applicant pool does not contain sufficiently qualified persons to fill a vacancy or when candidates decline offers for interviews and/or positions, it may become necessary to extend or reopen a search. A deadline may be extended when the applicant pool is deemed inadequate and no one has been interviewed for the position. A position is reopened for a search when applicants have been interviewed but offers are declined or not made. While it is permissible to extend a search deadline and to reopen a position, this may not be done to avoid hiring members of the protected classes. Affirmative steps to reopen or extend a search must include, but are not limited to, the following:

1) Notify the Director, EO/AA of the intent to extend a search or reopen a position BEFORE contacting applicants or placing advertisements.

2) When the only change to the original job announcement and search plan is the application deadline, a memo to the Director EO/AA is sufficient notification. A new Announcement of Vacancy or Staff Requisition and ad copy must be certified by the EO/AA Office when any other changes are involved.

3) Application deadline requirements mentioned under Announcement of Vacancies (#6, page 4) must also be followed when positions are to be reopened or searches extended.

4) Extended searches and reopened positions must be readvertised. (Positions advertised with a rolling deadline are not considered "extended searches.") The AV/SR and ad copy must also indicate whether the search is being extended or the position reopened for recruitment.

5) When a department decides to extend a search or reopen a position, all applicants in the original pool must be notified if (a) the pre-interview review has not been conducted (i.e. the HPR-I or AL form has not been submitted to EO/AA), or (b) applicants have not been notified of their status in the search.

GUIDELINES ON EMPLOYEE SELECTION

A. Reviewing applications/reference checking

Reviewing applications and checking references is a very serious and often time consuming task. Because decisions on who to interview are based on reviews of application material and references, it is imperative that evaluation procedures be consistent for each applicant and that all application material required be available and reviewed for each applicant.

Affirmative steps in reviewing applications and reference checking include, but are not limited to, the following:

Reviewing Applications:

1) Departments should require application materials which will best aid efforts to determine applicants' qualifications for a position. To be considered an applicant, a person must have submitted, by the application deadline, all materials required in the job announcement.

2) Develop an application evaluation or rating form which lists the advertised, required/desired qualifications. Evaluators may then indicate whether the applicant possesses the credentials to qualify for further consideration for the position. It is also desirable to include on the rating sheet an evaluation of the credentials, as well as, whether the applicant merely possesses the required/desired qualifications.

3) It is appropriate to contact an applicant for clarification of information on resumes, etc. It is not appropriate, however, to engage in lengthy discussions about the applicant's credentials prior to an interview or for the purpose of determining whether the candidate meets the required qualifications.

4) Applicants must not be notified they are no longer under consideration until after the pre-interview (HPR-I/AL) review has been conducted/approved by the EO/AA Office.

Reference Checking :

1) It is illegal to ask questions of references which cannot legally be asked of applicants.

2) When applicants are asked to provide letters of reference or names of references, other persons should not be contacted for a reference without the applicant's permission. It is not appropriate for ASU personnel to contact friends, acquaintances, or co-workers of the applicant for "unofficial" information about the applicant without the applicant's knowledge and permission.

3) Departments must be consistent in the way references are checked. For example, when a department asks for names of references, the department may appropriately contact only the references of applicants who make the first cut. However, it is imperative that the same number of references for each applicant be contacted. If a reference is not available, ask the applicant to provide the name of another reference. References may be checked by phone or by requesting a letter from the referee. It is not appropriate to request letters from some and check others by phone. When references are checked by phone, it is desirable to have more than one person listening and taking notes on the comments provided.

4) It is a requirement that references for each applicant be asked the same basic set of questions, unless letters of reference are requested. When letters are requested after the application review, it is still desirable to ask referees to respond to specific questions in a letter of reference.

5) When a person contacts a search committee member with unsolicited reference information, the search committee member should either a) neither share the information nor use it in evaluating the applicant, or b) share with the search committee and be sure the applicant's permission is obtained so references not on the applicant's reference list can be checked. Option b) should only be used to verify the accuracy of the information provided by the unsolicited reference.

B. Selection Procedures

Some court decisions indicate that regardless of the outcome of an employment decision, if discrimination occurred at any stage of the employment process, the employer may be found guilty of discrimination. Questions about any of the following information can only be asked when these factors are bona fide occupational qualifications (BFOQ). It is imperative, therefore, that persons interviewing applicants or asking questions in other interview settings be aware of and follow the guidelines on information which should NOT be sought from applicants.

1. Pre-employment Inquiry Guidelines

It is important to remember to ask only job-related questions. The following information provides guidance about impermissible questions.

AGE and DATE OF BIRTH - Federal law prohibits discrimination on the basis of age against individuals who are 40 years of age and older. Restriction of employment is permissible only where a bona fide occupational qualification (BFOQ) exists. Questions about age or date of birth may only be asked if given approval to do so by the EO/AA Office.

NAME and NATIONAL ORIGIN - No inquiry may be made about an applicant's maiden name, any previous name, a person's lineage, ancestry, national origin, or descent. Names should be used to identify applicants but should not be used for any other purpose. (Example, don't ask someone "What kind of name is that?")

ADDRESS - Specific inquiry into foreign addresses which would indicate ancestry or national origin is prohibited. It is permissible to ask for the current address of an applicant.

BIRTHPLACE and CITIZENSHIP - It is inappropriate to ask the birthplace of an applicant. It is legal to ask an applicant whether she/he is a citizen of the United States or to ask about the visa status of a non-citizen for purposes of determining eligibility to work in the U.S. Employers may not ask applicants to provide the name of the country where citizenship is held.

SOCIAL SECURITY NUMBER - Social security numbers may only be asked of applicants who are to be reimbursed for expenses incurred as a result of interviews or other activities related to their application for a position. Arizona requires the social security number of a person who is to receive a check from the state. Social security numbers may not be required of applicants for any other purpose.

MARITAL STATUS/RELATIVES - The names of an applicant's relatives may not be asked since the information is not relevant to job requirements. Questions about child care arrangements and a person's marital status are also prohibited. Employment decisions are to be made without regard to whether relatives of the applicant work at ASU unless the employment would involve supervision of or being supervised by a close relative. Contact the Director, EO/AA, the Human Resources department or the Vice Provost for Academic Personnel for further clarification when this becomes an issue in employment.

PHOTOGRAPHS - Photographs may not be required or asked for prior to employment.

HEIGHT and WEIGHT - Height and weight may not be requested from applicants nor should these factors be considerations for employment unless previously validated as BFOQs.

EDUCATION - It is permissible to inquire about an applicant's academic, professional or vocational educational background when it is a job related requirement. Asking about the national, racial or religious affiliation of a school is prohibited.

RELIGION/CREED - Inquiry into an applicant's religious denomination, affiliation, parish, pastor, or holidays observed is forbidden.

ARREST/CONVICTION RECORD - It is inappropriate to ask about an applicant's arrest record. If inquiry into the conviction record of an applicant implies an absolute bar to employment, it is unlawful for most positions. An employer probably has the right to exclude persons convicted of certain offenses from consideration for certain types of jobs. The employer, however, must be prepared to show justification for such exclusions.

MILITARY SERVICE - Inquiry into an applicant's military experience in the armed forces of the United States is permissible. An employer should be careful, however, about using information concerning discharges since the military has stated that discharges given under other than honorable conditions during specific periods of time were discriminatory. It is best not to ask this question. It is, however, desirable to afford applicants the opportunity to voluntarily disclose whether they are special disabled and/or Vietnam era veterans. The University is required to take affirmative action in the employment of persons in these categories.

ORGANIZATIONS - It is permissible to ask about professional organizational memberships provided the applicant is made aware of his/her right to exclude the name or character of any organization which is of a predominantly racial, religious, or sexual character.

FINANCIAL DATA, CREDIT RECORD, GARNISHMENT RECORD, or FIDELITY BONDS - Questions to applicants about these issues are probably unlawful unless the employer can show a business necessity for this information.

LOWEST SALARY - Due to past nationwide discrimination, it is unlawful to ask applicants who are members of the protected classes the lowest salary they will accept.

DISABILITY - It is unlawful to ask applicants whether they have a disability. Employers may ask whether an applicant can perform the essential functions of the job. The applicant's response to such question must be taken at face value by the employer. It is appropriate for employers to offer applicants the opportunity to voluntarily disclose the existence of any disability and the accommodations needed to perform the essential functions. The University is required to take affirmative action in the employment of persons with disabilities.

REMINDER - It is unlawful to discriminate against anyone in any aspect of employment or the employment process on the basis of age, race, sex, sexual orientation, national origin, religion, creed, color, disability or special disabled/Vietnam era veteran's status, or citizenship. Any concerns about the appropriateness of questions relating to any of these areas should be discussed with the Director, EO/AA prior to conducting interviews.

2. Conducting Interviews

According to many personnel experts, interviews are usually the least effective mechanism for evaluating applicants due to lack of preparation on the part of the interviewer. To provide equal employment opportunity, it is imperative for interviewers to be consistent in the conduct of interviews and the questions asked of applicants. Affirmative steps in conducting interviews must include, but are not limited to:

a. Prepare in advance a list of job-related questions to be asked of each candidate. Keep in mind information which cannot legally be asked of applicants.

b. Develop a rating or evaluation sheet based on the questions asked during interviews to ensure consistency in the evaluation of the interview.

c. Internal applicants must be treated in the same way as external applicants. It is inappropriate to conduct "courtesy" interviews simply because an applicant is already on campus.

d. There is no affirmative action requirement that interviews be conducted on campus; however, to assure equal treatment, interviews for all applicants must be conducted at the same location. For example, it is NOT permissible to conduct some interviews at a conference and some on campus.

e. When interviews are conducted at professional meetings or conferences, it is inappropriate to refuse to interview an applicant who is unable to attend the conference or meeting. If this situation arises, interviews must either be conducted on campus or departments must provide all applicants with transportation to the conference for the purpose of being interviewed. **If meetings with applicants at conferences/meetings are not considered official interviews (because interviews will be conducted on campus), departments must be sure that applicants unable to attend meetings are in no way penalized during the evaluation process, that persons contacted at meetings are aware they are not being interviewed for a position, and that conversations with applicants are of a very general nature**

to assure that applicants are neither benefited nor penalized by contact which is not available to all applicants.

f. When the interview process consists of several elements (i.e. meetings with the search committee and other campus personnel, presentations, teaching classes, etc.), it is essential that the elements of the process be the same for each candidate interviewed. It is helpful to offer candidates some free time during a visit to campus and to ask if there is a particular group of people they would like to meet or something they would like to see. The specific "free time" activity need not be the same for all candidates.

g. When search committee members involved in interviewing candidates are unable to interview all persons selected for interview, it is inappropriate for those individuals to participate in the final evaluation and recommendation discussions. Persons participating in the evaluation process who lack information about some candidates are not adequately knowledgeable to participate in the final discussions of all applicants' credentials.

3. Alternatives to Interviewing

Since conducting interviews of applicants is a matter of departmental choice rather than an affirmative action requirement, departments may wish to evaluate applicants by means other than interviews. Below are examples of evaluation mechanisms which may be used instead of or in conjunction with interviews. Departments, however, must keep in mind the need for equal treatment of applicants at each stage of the selection process (i.e. it is inappropriate to interview some finalists and conduct other types of evaluations for other finalists).

a. Assessment center activities - While it is not necessary to conduct the full scale assessment center process for candidates, departments may wish to use specific assessment activities as evaluation mechanisms. Assessment center activities provide greater opportunity than interviews for evaluator assessment of performance of the duties required in a position.

b. Philosophical papers requiring applicants to provide a statement of philosophy about how a job should be performed or about other job related requirements may be useful in determining an applicant's ability to perform job duties. Departments should be careful, however, to rate all philosophical statements on the same criteria. Departments might find it more advantageous to ask applicants to respond to a specific job related question rather than merely provide a general statement on some aspect of the job.

c. Tests may only be used if they have been validated and departments can show the test accurately predicts an applicant's performance ability. Before tests are used as an evaluation mechanism, they must be certified by the EO/AA office.

EMPLOYMENT OF NON-CITIZENS

General information about the types of status possible for non-citizen employees is provided below. Also provided is general information which should be kept in mind during recruitment and when considering requesting a change of visa status for an employee.

Employees wishing to apply for a new status may choose to use the services of an attorney. While this is perfectly acceptable, employees should be advised that the IAP 66 form necessary to obtain J-1 status can only be completed by the International Programs Office and applications for Alien Employment Certification must be approved by Jim Martin in International Programs.

Types of Status

F-1 Practical Training - This is a 12-month temporary employment authorization period for practical training after completion of studies. This status is initiated through the foreign student advisor at a student's degree granting institution. An Employment Authorization Document (EAD) is issued by the Immigration and Naturalization Service (INS) after receiving a recommendation from the foreign student advisor. Contact the International Student Office for further information about student status.

F-1 Postdoctoral Student - This is an extension (upon completion of a Ph.D.) of the student status. The person must be pursuing an education objective that requires a combination of course work and research. The research must be on campus, while school is in session, and is restricted to no more than 20 hours per week. (In most cases, J-1 or H-1B status would be more appropriate.)

J-1 Exchange Visitor - Available for students and visiting scholars. It is often difficult to change from this status to another due to the possibility of a two year home country residence requirement.

a) Professor, Research Scholar, or Specialist: Visiting scholar status is limited to 3 years.

b) Students: The stay of a student in a structured exchange program between a U.S. institution and a foreign institution is limited to one year. All other students may be admitted for the period (up to 8 years) required to complete a degree.

J-1 Practical Training - This is an 18-month temporary employment authorization period for practical training after completing a degree. The application for practical training is submitted to the International Student Office.

J-1 students will not be allowed to change to J-1 scholar category.

H-1B A temporary worker who will perform services in a specialty occupation. This status requires an approved labor condition application (this is not a job advertisement) from the U.S. Department of Labor plus extensive documentation of the applicant's credentials. Status may be granted for an initial period not to exceed 3 years. Extensions may be obtained, however, total H-1B time may not exceed 6 years.

Permanent Residence or Immigrant - (commonly called green card) Allows an individual to work in the United States without restrictions.

There are several permanent visa categories, however, the three main categories for faculty members are:

a) An alien of Extraordinary ability - This category does not require a labor department certification nor a permanent job offer.

b) An outstanding Professor or Researcher - This category does not require a labor department certification but a permanent job offer is required.

c) A member of the professions with an advanced degree or a person with exceptional ability in the sciences, arts, or business - This category requires a permanent job offer and a labor department certification.

Recruitment Reminders

1) Applications for a visa status or change of status may take as little as 3-4 weeks (J-1 and F-1) or as long as a year or more (permanent residence).

2) Employees, at the time employment begins, must be in a status which legally allows them to work; the status must be kept current when applying for any type of change of status.

3) Applications for a labor department certification for teaching faculty must be made within 18 months of selection. Applications for non-teaching employees generally require new recruitment upon submission of the application, however, if certification is requested within 6 months of selection, a request to waive additional recruitment may be submitted. Such requests may or may not be granted.

4) To obtain a labor department certification for a faculty member, recruitment must have included:

   a. advertisement in a national publication for at least 30 days,

   b. posting a notice of the vacancy on campus (e.g. on department bulletin boards), and

   c. all other affirmative action requirements mentioned in ACD 505-04.

UNIVERSITY POLICY/PROCEDURES

For information about university recruitment policies and procedures and record keeping requirements see:

ACD & ACDW 505-04 - faculty and academic professional positions; and

SPP 201 - administrative, classified and service professional positions

For related EO/AA policies see:

ACD & ACDW 401 - Equal Opportunity/Affirmative Action
SPP 101

ACD & ACDW 405 - Americans With Disabilities
SPP 105

THE BROWN UNIVERSITY HIRING PROCESS

How to open a Position Vacancy

Responsibilities of the Hiring Department

1. Prepare a Position Vacancy Authorization (PVA) form.
2. Obtain the signature of the Department Head.
3. If the position is new or the Position Content Document (PCD) has been revised, obtain the Senior Officer's signature. *Note:* For all positions in the division of the Dean of Faculty, the Dean's Office *must* sign the PVA, regardless of changes.
4. Attach the most recent PCD to the PVA. (Be sure to include the Americans with Disabilities (ADA) supplement form.)
5. Attach a Hiring Plan addressed to the attention of the Director of Equal Employment Opportunity/Affirmative Action (EEO/AA) for all positions. The Hiring Plan should outline the steps which will be taken to recruit, screen, interview, and select an individual to fill the position. Indicate the names and titles of persons who will be involved in the selection process. Call the EEO/AA Office at 863-2389 with any questions concerning the Hiring Plan.
6. If employment advertising is anticipated, please include a draft of the proposed advertisement and instructions concerning where and when it should be placed. Please note: if you do not indicate in your advertisement a search deadline, Human Resources will assume that you are reserving your right to close the search at any time and will so indicate in both your internal and external posting.
7. Forward the PVA and attachments to the EEO/AA Office, Box 1890.

Responsibilities of the EEO/AA Office

The EEO/AA Office will review the Hiring Plan at this time. If a job group is underutilized, it will be indicated on the PVA. Underutilization may require revisions in your Hiring Plan.

Responsibilities of the Budget Office

The Budget Office reviews all PVAs for "2" ledger accounts. The Office of Research Administration authorizes all "5" ledger accounts.

Responsibilities of the Human Resources Department

1. The PVA is logged when received and routed as follows:

   - Compensation section–for new or revised positions for evaluation of grade level.
   - Employment section–for final authorization.

2. The Human Resources Coordinator enters the PVA into the Position Control System, which lists it in the *Positions Available* job listing and on BBOARD. The position is also posted for a minimum of five working days on the Brown University Job Openings posting board outside of the Human Resources Department and added to the Work Line (863-WORK).

   The yellow copy of the PVA and the Hiring Package are returned to the department. Information on interviewing and I-9 verification is provided, along with a blank copy of the Hiring Report, sample acknowledgment and rejection letters for positions Grade 12 and above, and the name of the Human Resources representative assigned to the position.

3. The Human Resources representative will contact the department to discuss:

   - Experience, skills, and education requirements;
   - Advertising preferences; and,
   - Extent to which applicant screening and other assistance will take place in the Human Resources Department.

4. No offers of employment may be made during the first five days of the posting period to allow qualified University employees the opportunity to apply early.

5. At the conclusion of the five day posting period:

   - The position may be advertised. *Note:* In certain circumstances involving unique qualifications or locations, ads may run simultaneously with posting.
   - Resumes and applications are submitted to and logged by the Human Resources Department.
   - Acknowledgment postcards are sent to all applicants responding by mail for positions below Grade 12.

6. **Reopening Positions** — Once a position is posted and filled, if vacated again within the probationary period, the same position may be reopened without completing a new PVA.

INTERVIEW AND SELECTION

Application Acknowledgment

The Human Resources Department acknowledges the receipt of all mailed applications and resumes for positions below grade 12 with a postcard. Hiring departments are required to acknowledge all applications and resumes for positions grade 12 and above. A sample acknowledgment letter is enclosed.

Applicant Interviewing and Review Process

The Human Resources representative may screen applicants for the hiring department. Interviews should be conducted as soon as possible. The posting of the available position may be removed when the department feels it has sufficient applicants for its needs. Tips on interviewing are attached.

Expenses for applicant travel may be reimbursed under certain conditions. Your Human Resources representative can explain current policy, mileage allowance, and other details.

Application and References

All applicants interviewed must complete an employment application (internal candidates must complete an Internal Application). It is essential that references be checked on the final candidates, both internal and external. Whenever possible, the Human Resources representative will check references or assist you in doing so. Forms and questionnaires are attached to assist your checking.

Please note: If you conduct your own reference check, you must submit to Human Resources with your Hiring Report copies of the completed reference checking forms or your notes (marked "References Enclosed—To be opened by HR Only"). Human Resources suggests you seek references from three prior supervisors, whenever possible.

If final candidate is a former or current employee, the hiring supervisor must contact the Human Resources representative to make arrangements to review the information relevant to job performance in that employee's file.

Affirmative Action Requirements

For a department which has an underutilization of women or minorities, it may be necessary to expand the pool of applicants chosen for interview. The Human Resources Department records all applicants by sex and race, when available. If a department does not feel that it has sufficient women or minorities selected for interview, it may wish to further examine the pool of applicants. The EEO/AA Office and the Human Resources Department are available to assist in identifying those applications/resumes which are likely to be from female and/or minority applicants.

Candidate Selection

The hiring department should complete a Hiring Report, listing all interviewed applicants and providing reasons for selection or non-selection. The proposed salary should be included. This may be discussed with the Human Resources representative or the Compensation manager.

Note: For all positions in the division of the Dean of the Faculty, the Dean's Office must initial the Hiring Report next to the salary.

The completed Hiring Report (along with all resumes and applications) of those applicants interviewed should be forwarded to the EEO/AA Office. Once approved by EEO, it comes to Human Resources for final authorization.

Note: Authorization must be obtained from both the Director of EEO/AA and the Employment section before a job offer can be discussed with an applicant.

Offer of Employment

The Human Resources representative and the department will decide who will make the offer of employment to the selected candidate. Offers are made contingent upon I-9 verification and the signing of a Conflict of Interest Statement and Acknowledgement Form and, in some cases, a pre-employment/post-offer physical examination. I-9 verification must be completed within the first three days of employment in order to enter the employee in the payroll system.

The Human Resources representative will schedule an orientation date and send a confirmation of acceptance letter to the selected candidate. Attending Orientation is a condition of employment.

Offer of Employment (continued)

The hiring range for external candidates is from the grade level minimum salary to the first quartile of the salary range. For exceptionally qualified candidates with heavy related experience, salaries can be up to the midpoint of the salary range. Please consult with your Human Resources representative or the Compensation manager about the amount of an increase for someone moving up more than two grades. In all cases the salary offered should not fall below the range minimum or exceed the range mid-point. You should be aware of the salaries of other similarly-situated employees in the department before making a salary recommendation, to ensure that a new employee with less experience will not be making a higher salary than an internal employee with the same or more experience in a similar situation.

Notification of Other Applicants

The hiring department or the Human Resources Department shall send all interviewed applicants a letter notifying them of their non-selection. A sample is attached. (Resumes and applications of all applicants must be returned to Human Resources.)

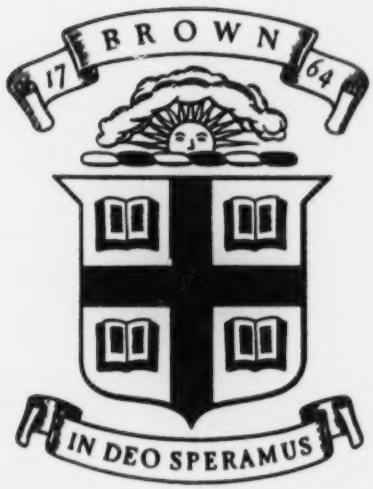
Required Forms

Information on the person hired, promoted, or transferred into a new position will be completed on a Personnel Action Form (PAF) by the Human Resources representative or Human Resources Coordinator. A PAF does not need to be submitted by the hiring department. However, a Personnel Data Form (PDF) should be completed by the employee and forwarded to Human Resources.

When an employee is transferred or promoted, the new supervisor must contact the former supervisor to obtain the number of vacation and sick days accrued.

Any questions regarding the Hiring Process should be directed to the Employment section of the Human Resources Department at 863-3175.

Equal Employment & Opportunity Affirmative Action



at

Brown University

PRESIDENT'S REAFFIRMATION OF POLICY STATEMENT

Brown University has been and will continue to be committed to a policy of equal employment opportunity, and to the principles of affirmative action. This commitment extends beyond ensuring neutrality in employment opportunities with regard to race, color, sex, age, religion, national origin, veteran and disability status.

I and the Corporation of Brown University embrace the belief that diversity within the University community advances the academic purposes of the University, and an affirmative action policy is essential to achieving such diversity. The University endorses the goals of equal employment opportunity and affirmative action as supportive of the University's values and of the values of a democratic and pluralistic society.

As affirmative action implies, Brown University will continue to make strong, positive efforts to ensure that minorities, women, disabled persons and veterans are given full opportunity for employment, upgrading, counseling, training, and for participating in all University sponsored programs and social activities. The University will continue to meet affirmative action program requirements established for contractors by the federal government and monitored by the Department of Labor. Such programs provide a mechanism for monitoring University personnel policies and procedures to ensure equal employment opportunity as well as a means for locating and eliminating any deficiencies in relevant areas of employment.

I personally endorse this policy and I expect full cooperation and assistance from all members of the Brown Community in the implementation of all of the University's Policies and Procedures relevant to equal employment opportunity and affirmative action.

The Director of the Office of Equal Employment Opportunity and Affirmative Action is responsible for the coordination of the University's affirmative action programs, and oversight and monitoring of their implementation throughout the University.

I request the continuing cooperation at every level of the University toward implementing the University's policies.

Vartan Gregorian

Vartan Gregorian, President
Brown University

INTRODUCTION

This brochure has been prepared to introduce all employees of Brown University to the concepts of Equal Employment Opportunity and Affirmative Action, and further, to explain the laws which govern these concepts, and the procedures practiced by Brown University to ensure their implementation.

EQUAL EMPLOYMENT OPPORTUNITY

Equal Employment Opportunity is provided when all conditions of employment and management decisions are based on good, consistent, and fair human resource policy and procedure.

Equal Opportunity in employment is an essential priority for Brown University, and one to which the University is deeply committed. In accordance with established federal laws (Civil Rights Act of 1964), state laws, and University policies, discrimination based on race, color, religion, national origin, sex, sexual orientation, age disability, and Vietnam-era or disabled veterans status is prohibited in all aspects of employment. Brown University is also committed to providing a work and academic environment free from all forms of sexual harassment.

AFFIRMATIVE ACTION

Affirmative Action is a results-oriented program that is designed to redress imbalances of minorities and women in the workforce. Executive Order 11246 (1965), as amended by Executive Order 11375 (1967) requires federal contractors to take "affirmative" steps to recruit, hire and advance minorities and women when they are underutilized in the University and are qualified and available in the labor force.

As part of the federal contract obligations, Brown University is required to determine whether women and minorities are "underutilized" in the workforce. When that is the case, Brown University is required to develop as part of its affirmative action program, specific goals designed to overcome that underutilization. Underutilization is defined in the regulations as having fewer women or minorities in a particular job group that would reasonably be expected by their availability.

Brown University proactively undertakes good faith efforts to reach affirmative action goals through recruitment, outreach, and internal reviews of employment policies and practices. Affirmative Action goals are flexible, temporary, and aimed at correcting the imbalances. Goals are not quotas.

MANAGING DIVERSITY

Diversity is a concept that values the differences of the people that make up today's workforce. These differences include both primary dimensions (e.g. race, gender, age, religion, national origin, etc.,) and secondary dimensions (e.g. marital status, work background, etc.,) characteristic of groups of people within an organization.

As our workforce becomes more diverse, we are challenged with the opportunity to find ways of enabling people of many different backgrounds to provide valuable contributions to the University. It is not enough to just increase diversity in

the workplace and in the classroom, we must also learn to manage and enhance this newly created diversity. Affirmative Action and managing diversity are two mutually supporting concepts. Together they help establish a true equal opportunity environment.

PERSONS WITH DISABILITIES

A person with a disability is someone who: (1) has a physical or mental impairment that substantially limits one or more major life activities; (2) has a record of such an impairment; or (3) is regarded as having such an impairment. A major life activity means a basic function such as working, caring for oneself, walking, seeing, hearing, breathing, etc.

Employers are prohibited from discriminating against qualified individuals with disabilities in all terms, conditions, and privileges of employment.

A qualified individual with a disability is a person who, with or without reasonable accommodation, can perform the essential functions of the job in question. Employers are required to make an accommodation to the known disability of a qualified applicant or employee if it would not impose an undue hardship on the operations of the employer's business. The employer is not required to lower quality or production standards to make an accommodation, nor is an employer obligated to provide items such as glasses or hearing aids. Disclosure of ones disability is strictly voluntary and will be kept confidential.

VETERANS ASSISTANCE

Employers are prohibited from discriminating against veterans and are required to take affirmative action* to employ and advance in employment Vietnam Era Veterans and qualified disabled veterans of all wars.

*The affirmative action requirements for qualified persons with disabilities and Vietnam Era and Disabled Veterans do not include goals and timetables in the same way that affirmative action programs establish such goals for women and minorities.

WHERE CAN YOU GO FOR INFORMATION OR TO SEEK RESOLUTION TO A PROBLEM?

If you feel you have been discriminated against or harassed based on race, religion, color, national origin, sex, sexual orientation, age, disability or Vietnam Era or disabled veteran status, or just want to talk about your options or obtain additional information, please contact your supervisor, the Human Resources Department or the Equal Employment Opportunity/Affirmative Action Office. All grievances will result in a prompt and thorough investigation and appropriate disciplinary action if warranted. Grievances will be kept as confidential as possible. Brown University does not tolerate retaliation against employees who report incidents of discrimination or sexual harassment, or those who participate in University investigations of discrimination or harassment.

HOW DOES BROWN UNIVERSITY IMPLEMENT EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION LAWS?

1. Brown University has an Office of Equal Employment Opportunity and Affirmative Action. The Director of the Office of Equal Employment Opportunity and Affirmative Action is charged with the responsibility for coordinating and monitoring all components of Equal Employment Opportunity and Affirmative Action compliance.
2. The University has developed an Affirmative Action Plan, updated annually by the Office of Equal Employment Opportunity and Affirmative Action, which analyzes its workforce, policies and procedures related to all aspects of employment, sets forth goals for each department within the University, and monitors progress and/or impediments to achieving the overall goal of diversity at all levels within the University. The University's Affirmative Action Program is monitored and approved by the U.S. Department of Labor's Office of Contract Compliance Programs (OFCCP) through periodic audits of our plan and progress toward accomplishment of hiring and promotion goals. The OFCCP also monitors the implementation of programs intended to ensure equitable treatment and opportunities for all employees.
3. Senior officers, managers and employees are advised with regard to new developments in equal employment opportunity/affirmative action legislation and their responsibilities related to ensuring that the University maintains compliance.
4. The University participates with community organizations, local, state and federal agencies, educational institutions, and other groups, which specialize in training and referring applicants for employment opportunities at Brown.

TERMINOLOGY

The following are the racial / ethnic categories used in discussions about Equal Employment Opportunity and Affirmative Action.

Racial/Ethnic Categories — people can self identify as:

- **American Indian/Alaskan Native** – a person having origins in any of the original peoples of the present day United States (except Hawaii), and who maintains cultural identification through tribal affiliation or community recognition. Includes the native peoples of Alaska.
- **Asian/Pacific Islander** – a person having origins in any part of the Far East, Southeast Asia, Pacific Islands, and the Indian sub-continent.
- **Black** – a person having origins in any of the black racial groups of Africa, not of Hispanic origin.
- **Hispanic** – a person whose cultural or linguistic origins are Spanish or Latin American regardless of race, e.g., Mexican, Puerto Rican, Cuban, Central and South American.
- **White** – (not of Hispanic origin) a person having origins in any of the original peoples of Europe, North Africa, of the Middle East.

I. COLUMBIA'S POLICY OF EQUAL EMPLOYMENT OPPORTUNITY

A. Statement of General Policy

"The more I studied American society," wrote Tocqueville after a tour of our country, "the more clearly I saw equality of conditions as the creative element from which each particular fact derived, and all my observations constantly returned to this nodal point."

What Tocqueville noticed in the 1830's, and what is still today a wonder to many foreign observers, is that the passion for equality runs so deep in the American soul. However imperfect its implementation, equality is an ideal to which we as a people are sworn by custom, law and tradition, and we adhere to it in the belief that it is the partner, not the foe, of national excellence.

One vehicle in the endeavor to put opportunity in the reach of all is an effective plan for affirmative action. In 1972, Columbia University was among the first institutions to prepare such a plan. It has since conducted annual assessments of its performance and procedures, and offers here its current program. In so doing, it reaffirms its longstanding commitment to the principle and practice of equal opportunity and states again that all personnel actions at Columbia are and shall be taken without discrimination based on race, color, religion, age, national or ethnic origin, sex, sexual orientation, marital status, citizenship status, Vietnam Era veteran or disabled veteran status, or disability.[1] To these ends, the University recommits itself to the *Affirmative Action Plan* described below, and it does so not only under the compulsion of law, but also in the spirit of diversity consistent with our nation's ideals.

B. Conformity with the Requirements of Executive Order 11246

All employment and promotional decisions are in accord with principles of equal opportunity and affirmative action. Only valid requirements are imposed on persons seeking employment or promotion.

All personnel actions, including recruitment, hiring, compensation, benefits, transfers, promotions, layoffs, returns from layoff, education, tuition assistance, and such training, social, and recreational programs as are offered are administered without discrimination based on race, color, religion, sex, or national origin. The program year for this annual update of the University's Affirmative Action Plan is January 1, 1996 to December 31, 1996.

C. Conformity with the Sex Discrimination Guidelines

Columbia is committed to promoting and ensuring equal opportunities to all employees and applicants for employment without discrimination based on sex. The policies and practices listed below help ensure that this commitment is carried out.

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[1] These are together referred to as "protected group status" throughout this Plan.

Recruitment and Advertising Practices. All positions at Columbia are open to men and women, and there are no jobs for which men or women are preferred. No preference for a person of a given sex is expressed in job advertisements.

Employment Policies and Practices. Columbia does not make any distinction based upon sex in employment opportunities, wages, hours, or other conditions of employment. Opportunities for promotion and transfer are equally available to men and women.

Adequacy of Physical Facilities. Physical facilities are adequate for both men and women. There is, therefore, no possibility that a person of either sex will be denied a job because of a lack of appropriate physical facilities for members of that sex.

Policies and Practices with Regard to Marital Status. Married and unmarried individuals of both sexes are treated equally in all personnel matters.

D. Conformity with the Guidelines on Discrimination Because of Religion or National Origin

Equal Opportunity Policy. It is the policy of Columbia University to provide equal opportunity in employment without discrimination based on religion or national origin.

Accommodations to Religious Observance and Practice. The University accommodates the religious observances and practices of any employee or prospective employee as long as it can do so reasonably without undue hardship on the conduct of the University's business and mission.

E. Implementation of Policy

1. University Structure

Columbia is essentially a corpus of teachers and scholars assisted in their work by a staff of professional researchers and librarians—all engaged in the common task of discovering, refining, and transmitting knowledge. This task and the large-scale corporate enterprise required to sustain it are coordinated by a body of administrators, while the work of all such personnel—teachers, researchers, librarians, and administrators—is supported by a sizeable number of union and non-union employees. These are Columbia's constituent elements and the structural elements of this *Affirmative Action Plan.*

Because the state of knowledge and learning is ever-changing, the structures built to promote it cannot remain static. Departments are added, deleted or combined in accordance with the growth of knowledge; new programs are established to fill special needs or to test the viability of fresh ideas; schools redefine their purposes or alter their directions as the requirements of society and academy change. Moreover, as the conditions for management and supervision within the University change and as the relation between the University and society becomes ever more complex, the administrative

support structure of Columbia also evolves. Yet the basic academic and administrative structures of Columbia remain fairly well set to form a general matrix for the *Affirmative Action Plan*.

Academic Structure. The primary academic units of Columbia are departments of instruction and Faculties or schools. The relationship between departments and Faculties is a complex one, but it can be said generally that instructors are grouped into departments by areas of training and into Faculties by commonality of interests. Expressed differently, Faculties design and direct the University's curricular programs while departments provide the instruction required by those programs.

Some Faculties, such as Law, have a narrow enough focus in their efforts to be at the same time departments, while others, such as the Graduate School of Arts and Sciences, draw members from many departments. Depending on his or her competence, moreover, a member of a department of instruction may be a member of more than one Faculty of the University. Therefore, groups of similar departments rather than Faculties per se are the proper units of analysis for purposes of affirmative action. The academic groupings at Columbia are set forth in Section VI(B)(1) of this *Plan*.

Administrative Structure. The deans of the various Faculties and the chairs of the individual departments, together with the staffs that assist them, form the basic structure of Columbia's academic administration. In accordance with the rules and by-laws of their units and in association with the faculty they lead, the deans and chairs have a wide-ranging authority to set policy and decide upon personnel, both instructional and non-instructional, in those units. Their role in protecting the principle of equal employment opportunity and advancing the goals of affirmative action is thus primary and crucial.

Directing the educational enterprise as a whole and supervising the fiscal, physical and personnel operations that support it are the officers and staff of the central administration. The chief executive of the University, appointed by and responsible to the Trustees, is the President. He is assisted by the Provost and Dean of Faculties, who has charge of the academic affairs of the University, and by several vice presidents, including the Executive Vice President for Finance, the Executive Vice President for Administration, the Vice President for University Development and Alumni Relations, and the Vice President for Public Affairs. Reporting to the Executive Vice President for Finance are the Treasurer and Controller, the Vice President for Investments and Vice President for University Budget and Financial Planning; reporting to the Executive Vice President for Administration are the Vice Presidents for Facilities Management, Human Resources and Student Services. The Vice President for Information Services and University Librarian reports to the Provost and Dean of Faculties. Two academic vice presidents—the Vice President for Health Sciences and Dean of the Faculty of Medicine and the Vice President for Arts and Sciences and Dean of the Faculty of Arts and Sciences—report to the Provost and Dean of Faculties (in their decanal capacity) and to the President (in their vice presidential capacity). The Secretary of the University and the General Counsel also report to the President.

2. Division of Responsibility

The ultimate responsibility for implementing affirmative action at Columbia resides with the officers of the central administration, each of whom has varied duties with respect to the *Affirmative Action Plan*.

As the chief executive officer of Columbia, the University President is responsible for all its operations. He has delegated to the Provost and Dean of Faculties the general responsibility for coordinating all aspects of Columbia's policy of equal employment opportunity and for implementing its *Affirmative Action Plan*. The Provost and Dean of Faculties is assisted for this purpose by a Vice Provost for Academic Administration who oversees the Office of Equal Opportunity and Affirmative Action and by the Assistant Provost who directs its operations. Together these officers advise the President on statements of policy, the identification of problem areas and the selection of methods to remedy any deficiencies.

The responsibilities of the Assistant Provost include the following:

- Coordinating, implementing, and monitoring the University's commitments under this *Plan*;
- Developing policy statements and appropriate affirmative action programs, as well as internal and external communications with regard to the University's commitment to affirmative action and its progress and performance under this *Plan*;
- Reviewing and augmenting, as necessary, the University's auditing and reporting procedures, to provide the data necessary to carry out the following responsibilities: measuring the overall effectiveness of the University's affirmative action programs; identifying problem areas, if any, and establishing goals, objectives, and remedial action, where appropriate; determining the degree to which these goals and objectives have been met; preparing the annual Updates to this *Plan* and any other reports required by federal or other governmental agencies; and providing technical assistance to the deans and vice presidents in the preparation of their annual Self-Evaluations;
- Assisting University administrators in identifying and arriving at solutions to affirmative action problems, and keeping them informed of the latest developments in the entire equal opportunity area;
- Initiating and maintaining close communication with various groups representing women and minorities at Columbia;
- Serving as a liaison between the University and various community action or service groups, especially those concerned with the employment opportunities of minorities and women and minority and women's organizations, and encouraging participation by members of the University community in these organizations where possible;

- Serving as a liaison between the University and the various government agencies enforcing anti-discrimination and affirmative action laws;

- Periodically auditing, or providing for the audit of, hiring, transfer and promotion patterns, policies and practices, as well as of such training programs as may be offered, to ensure that there are no impediments to the attainment of the University's goals and objectives, and that minorities and women are given full opportunities;

- Ensuring that supervisory and management personnel are periodically reminded of the University's affirmative action and equal opportunity policies;

- Ensuring that posters are properly displayed at each campus and work location, and that all facilities for employees are desegregated and comparable for both sexes;

- Ensuring that minority and female employees are afforded full opportunities and encouraged to participate in all University-sponsored educational, training, recreational, and social activities;

- Ensuring that supervisory personnel understand that their equal opportunity and affirmative action efforts and results are part of the annual evaluation of their work performance, and that they are responsible for preventing harassment of the minorities and women subordinate to them;

- Counseling any University employee or student who has a discrimination-based complaint, and investigating and attempting to informally resolve the dispute, upon request.

The Office of Equal Opportunity and Affirmative Action is in Room 402, Low Memorial Library, Columbia University, New York, NY 10027, and its telephone number is (212) 854-5511.

The collective work of affirmative action is a shared responsibility at Columbia, and each employee is individually charged with cooperating toward fulfilling the letter and spirit of the Affirmative Action Plan.

Although the Assistant Provost has overall responsibility for day to day administration, the Provost and Dean of Faculties also has specific responsibility for developing and implementing the *Affirmative Action Plan* with respect to officers of instruction, research, and the libraries. It is his duty to ensure that the *Plan* is carried out with respect to the recruitment, appointment, promotion, compensation and separation from the University of all such officers. He is assisted in that effort by the deans and academic vice presidents, the Vice President for Information Services and University Librarian, department chairs, and center and institute directors.

The Vice President for Human Resources has specific responsibility for ensuring that the *Plan* is carried out with respect to the recruitment, employment, promotion, compensation and termination

of officers of administration and members of the supporting staff. The Vice President is also responsible for ensuring that fringe benefits are available to all personnel without discrimination. The departments reporting to this Vice President include Employment, Compensation, Benefits, Employee and Labor Relations, Operations, Training and Development and Environmental Health and Safety. An Assistant Vice President-Human Resources heads the Health Sciences Human Resources Office and is responsible for the provision of personnel services at that campus. All of these offices are referred to hereafter as "Human Resources."

II. EMPLOYMENT POLICIES AND PRACTICES[2]

While carrying out its general responsibility for assuring equal employment opportunity at all levels, Columbia recognizes that it is a community composed of different kinds of personnel. It endeavors to achieve its affirmative action goals through employment policies and practices which are uniform for all personnel within each of the constituencies that make up its work force, but which differ in certain respects from one constituency to another.

A. Officers of Instruction

Officers of instruction are University personnel appointed formally by the Trustees, President or Secretary of the University to offer full-time or part-time instruction at Columbia. The various academic titles and grades of office are named and defined in Section 61 of the University Statutes, which forms Appendix 2 to this *Plan*. With the exception of the University Professors—seven faculty members of the highest distinction who are appointed by the Trustees to serve on a University-wide basis—officers of instruction are nominated by and serve primarily within a particular school or department.

In October, 1992, the Vice President for Health Sciences and Dean of the Faculty of Medicine issued a Statement of *Affirmative Action Policies and Procedures for the Appointment of Officers of Instruction and Research in the Health Sciences*. This document, which will be referenced in this *Plan* as the *1992 Health Sciences Memorandum*, governs faculty and research appointments at the Health Sciences. It is attached as Appendix 4. All other appointments as faculty, research officers and professional librarians are governed by the Provost's October 1993 Restatement of *Affirmative Action Policies and Procedures for the Appointment of Officers of Instruction and Research Outside of the Health Sciences and Officers of the Libraries*. This document, which will be referred to as the *1993 Memorandum*, is attached as Appendix 3.

The procedures set forth in these memoranda are designed to achieve accountability within a system of decentralized responsibility. They recognize that the process of faculty recruitment and development inherently involves the application of judgmental criteria, and that the responsibility for applying these criteria must rest primarily with the Faculties themselves. The University believes that the principle of the selection by their future colleagues is not only an important aspect of academic freedom, but also a practical necessity since the achievements and promise of faculty candidates are most sensitively evaluated by their own peers. Furthermore, decentralized responsibility gives

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[2]The description of employment policies and practices in this *Plan* necessarily summarizes or describes generally a number of complex subjects. It is not intended to be definitive in all areas. For definitive information, reference should be made to more formal and detailed statements of University regulations and policies to be found elsewhere. These include the Charter and the Statutes of the University, the stated rules of the Faculties, the by-laws of the departments, *The Faculty Handbook of Columbia University 1987* and *The Personnel Policy Manual of Columbia University*, as well as the contractual and other documents governing pension, medical and other benefits. Copies of such documents are available at the Office of the Secretary and the Office of the Vice President for Human Resources. Where a description in this *Plan* and an express statement in such documents (as amended) are inconsistent, the express statement will control.

departments and schools the necessary flexibility, within the framework of this *Affirmative Action Plan*, to pursue faculty development policies which look beyond the individual qualifications of various candidates, to anticipate new trends in knowledge and to mobilize talent selectively in accordance with the program priorities of the department or school.

1. Search and Evaluation

Since 1972, each academic unit appointing full-time officers of instruction has been required to have on file in the Provost's Office a statement approved by that office outlining the standard search and evaluation procedures it uses in filling its instructional positions.[3] Statements from Health Sciences units conform with detailed guidelines set forth in the *1992 Health Sciences Memorandum*; statements from units outside the Health Sciences are now being updated to conform with the guidelines in the *1993 Memorandum*.

Each statement sets forth, for each instructional rank to which the unit makes appointments, the *Standard External Search Procedures* by which it identifies and selects candidates. These constitute the general practice of the University and are considered appropriate for filling most positions in most ranks, even when one or more current officers in the University are candidates for the position.

Statements from Morningside units whose current postdocs (Postdoctoral Research Scientists/Scholars and Postdoctoral Research Fellows) regularly form a pool from which officers of instruction or research are chosen set forth two additional procedures: *Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees*, describing the processes by which the unit's postdocs are initially identified and selected, and *Standard Internal Search Procedures*, describing the processes by which the unit selects, from among its current postdocs, individuals it seeks to appoint to positions as instructional or research officers. Morningside units setting forth these two procedures in their statements may appoint any of their postdocs to a position as a faculty member or research officer without conducting a full external search, if the candidate was initially selected in accordance with their *Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees* and promoted according to their *Standard Internal Search Procedures*.

The *1992 Health Sciences Memorandum* permits Health Sciences units to promote postdocs (Postdoctoral Research Scientists/Scholars, Postdoctoral Research Fellows and Postdoctoral Clinical Fellows) to renewable faculty or research officer positions at the conclusion of their postdoctoral training period without a search if the postdocs were originally selected in accordance with the *Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees* set forth in the unit's statement. It also allows clinical departments which select their house staff members in accordance with their statement's description of *Affirmative Action Steps Taken in Connection with House Staff Selection* to appoint members of the house staff to full-time, renewable faculty or research officer positions without a search at the conclusion of their house staff training.

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[3]Statements from units which also appoint full-time officers of research include a description of their standard search and evaluation procedures for these positions, as well. See Section II(B)(1), below.

All statements provide for (a) a careful and precise definition of all faculty openings; (b) a wide search for candidates, with special efforts made to locate qualified women and minorities; and (c) a fair, impartial review of all applications. Within these broad requirements, each unit has established procedures it deems best suited to its needs. Each discipline has a particular style of operation, one that is set by the kind of scholarship in which it is engaged, by its size and subdivisions, and by the activities and schedules of the professional societies that serve it. These differences have their effect on the way in which each academic and research unit seeks out and evaluates candidates, and to the extent that these variations are compatible with the demands of affirmative action, they have been respected and encouraged.

To ensure that faculty openings are properly defined, all searches must begin with the department or school preparing a description of the qualifications and areas of competence expected of all applicants and of the teaching and research responsibilities to be carried out by the candidate. This description, in full or abbreviated form, is included in all advertisements and public notices of the position.

To ensure that their searches are sufficiently extensive, departments and schools normally advertise openings in professional journals, placement publications, or other professionally relevant media. Most also notify those institutions most likely to have appropriate candidates for the position. Additionally, many notify women's and minority caucuses and task forces, contact those colleges and universities known to be especially concerned with the professional training of women and minorities, and solicit suggestions from women and minority professors already established in the field. The Assistant Provost may assist in identifying appropriate female or minority sources, particularly when hiring goals have been set.

To ensure that no bias enters into the evaluation process, most schools and departments establish a search or appointments committee to review all applications and to interview the most promising candidates. These committees are expected to be representative of the academic department or school as a whole and, where possible, to include women and minority faculty. When such committees are not established, either the entire faculty or the entire senior faculty of the department or school participates in the appointment process.

2. Monitoring Process

Columbia's affirmative action procedures require that no initial offer of appointment as a full-time compensated officer of instruction or research may be tendered to persons outside the University without the prior clearance of the Provost and Dean of Faculties. In addition, units must obtain clearance from the Provost and Dean of Faculties prior to the appointment of postdocs or house staff members, if they contemplate offering these persons positions as officers of instruction or research at the conclusion of their house staff or postdoctoral training.

> *Monitoring Committees*: A Faculty Affirmative Action Advisory Committee, appointed by the Provost and Dean of Faculties, is charged with advising him on whether to give affirmative action clearance for faculty and research appointments outside of the Health Sciences, and for all appointments of officers of the libraries. The Committee consists of seven officers of instruction, one senior officer of research, one senior officer of the libraries,

the Assistant Provost who serves as an *ex officio* member, and the Vice Provost for Academic Administration who acts as its chair, and contains a substantial representation of women and minorities.

The Provost and Dean of Faculties has delegated responsibility for reviewing affirmative action clearance requests for instructional, research, postdoc and house officer appointments in the Faculties of Medicine and Dental and Oral Surgery to the Vice President for Health Sciences and Dean of the Faculty of Medicine. The Vice President is assisted by a Health Sciences Affirmative Action Committee made up of Health Sciences faculty and senior research officers, including women and minorities, and the Assistant Provost, who serves *ex officio*. The Committee is chaired by a faculty member at the Health Sciences, chosen by the Vice President.

The primary function of both monitoring committees is to review search reports submitted by the various units and to recommend whether clearance should be granted or withheld. When documentation is unclear, the committees may request, in writing or through conference, additional information from a dean, department chair or director. In considering clearance requests, the committees do not judge the qualifications of any candidate, but are concerned solely with ensuring that appropriate procedures have been followed in searching for and selecting nominees and that substantive reasons are given for setting aside the candidacies of those judged less qualified.

Clearance Procedures for New Appointments: In requesting affirmative action clearance, the dean, director, or chair must submit a *Search Report* which indicates whether the unit followed one of its standard search procedures (in which case copies of ads, letters, or other notices of the vacancy used in the search are attached to the form) or employed procedures at variance with its standard procedures (in which case a description of the circumstances that caused the variance and the actual procedures that were followed is attached) and a *Summary Statistical Data Report* which provides information, by sex and ethnic category, on the number of individuals who applied, were considered most qualified, and are being nominated for appointment.

If more than one candidate applied or was considered for the position, the department, school, institute, or center must also submit (a) an *Applicant Pool Report* which lists all those who applied for or were in any way considered for the position, with information for each on current institutional affiliation, referral source, "special status," if any, and when relevant, the date of formal interview; (b) a *Special Status Applicants Report* which lists all applicants with a special status (women, minorities, individuals with disabilities, special disabled veterans and Vietnam Era veterans) who were judged *not* to be among the most qualified, and states briefly the specific reasons for their not being selected; and (c) a *Most Qualified Candidates Report* which lists in descending order of preference all individuals judged to be most qualified for the position, and states briefly the specific reasons for selecting the nominee and for judging the others less qualified. If a candidate withdrew or was found to be unavailable, the source of this information and, if known, the reasons for the candidate's withdrawal are also indicated. (See Appendices 3 and 4 for copies of these forms.)

In certain limited circumstances, a search of the usual breadth, or indeed any search at all, is considered inappropriate. These include appointments of persons new to the University who are (1) one of a limited number of scholars, all known to the professional community, in a highly specialized field; (2) a nationally-recognized "star"; (3) part of an established research unit headed by a recent appointee; (4) nominated pursuant to negotiations with the individual's spouse for another faculty position; or (5) being funded through the Provost's Minority Faculty Incentive Fund. For current employees variances include: (6) promotion of an outstanding member of the research support staff; (7) appointment of persons changing from part-time to full-time status after holding their part-time University position for three or more years; and (8) appointment of some persons currently on a limited term appointment.

While a school or department needs the flexibility to depart from its standard external search procedures in such situations, clearance must nonetheless be requested, and the dean, director, or chair must include with the Search Report a detailed description of the circumstances that justified the variance.

There are other instances where unforeseen circumstances, such as unanticipated late vacancies or unpredicted last-minute increases in enrollment, preclude a full search in conformity with affirmative action guidelines. Clearance to make an "emergency" appointment in these situations may be requested by submission of a description of (a) the "emergency" which gave rise to the need for the appointment, (b) the procedures used to find the proposed appointee, and (c) the pool from which the proposed appointee has been drawn, even if a wholly intra-University pool. In granting clearance to make an "emergency" appointment, the Provost and Dean of Faculties requires that the proposed appointee be informed that the appointment is an interim one and may not be renewed without a complete search in accordance with the unit's standard external search procedures.

3. Promotion

Promotions of officers of instruction within the non-tenured ranks or from tenured Associate Professor to Professor are made without a further search when the individual has demonstrated achievement of the academic qualifications for the higher rank. Units may, at their discretion, choose to conduct a full, external search prior to nominating a non-tenured faculty member to a tenured rank. In those cases, the unit must submit a search report to the appropriate monitoring committee, accompanied by an *Applicant Pool Report*, a *Special Status Applicants Report*, and a *Most Qualified Candidates Report*. Otherwise, they do not need to obtain clearance before nominating junior faculty members for promotion to tenure.

4. Compensation

The various Faculties have established salary ranges for each rank in their units.[4] It is the policy of the University to apply these ranges without discrimination against the protected group status of any appointee. The level of initial salary and rate of increment for a particular rank vary from Faculty to Faculty, but are governed within a particular unit by a common set of principles including time in rank, teaching and scholarly accomplishment, and professional reputation.

Salaries are reviewed annually at budget time and any apparent discrepancies between salaries of appointees performing similar duties are brought to the attention of the appropriate dean or vice president for correction or explanation.

5. Nonrenewal and Dismissal

Written notice must be given to any full-time officer of instruction whose appointment is not to be renewed beyond its stated term. With the exceptions in the Health Sciences described below, this notice must be given (a) not later than March 1 of the first academic year of full-time service; (b) not later than December 15 of the second academic year of full-time service; and (c) at least twelve months before the expiration of an appointment after two or more years of full-time service.

Officers of instruction in the Faculties of Medicine and of Dental and Oral Surgery who hold clinical titles or titles indicating an appointment in an affiliated hospital or institute are entitled to at least six months' written notice of nonrenewal after two years of full-time appointment, except when their termination results from the termination or modification of an affiliation agreement between the University and a hospital or institute or from the closing or curtailment of the operations of an affiliated institution. Terms of Collective Bargaining Agreements, where applicable, take precedence over other stated terms in the event of conflict.

The termination of an appointment with tenure or of a term appointment before the end of the specified term is subject to the conditions and procedures stated in detail in Sections 74 and 75 of the University Statutes, which are reprinted in Appendix 5.

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[4] Full-time officers of instruction, with the exception of those who are appointed for only one term, are paid in twelve equal monthly installments for service rendered over academic calendars of varying lengths. Outside of the Health Sciences, the University operates on a nine-month calendar, except for the Graduate School of Business, which is on an eight-month calendar. In the Faculties of Medicine and of Dental and Oral Surgery, full-time officers of instruction are compensated for service during a twelve-month academic year, with the following exceptions: all faculty in the School of Public Health provide nine-months of service, while some in the School of Nursing and the Programs in Occupational and Physical Therapy are on a nine month academic calendar. Full-time officers of instruction appointed for only one term are normally paid in six monthly installments. Part-time faculty are paid in equal installments during the period in which they are teaching.

6. Grievance Procedures

Grievances against a school, a department, or the University administration, including those involving reappointment and promotion, may be taken by an officer of instruction to the University Senate Committee on Faculty Affairs, Academic Freedom and Tenure, as provided in Section 73 of the University Statutes, reprinted in Appendix 5. If a dispute regarding reappointment or promotion is not resolved at that level and if the Committee finds substantial grounds for believing that a violation of academic freedom or discrimination because of protected group status has occurred, it may provide for a formal hearing (as more fully described in Appendix 5). All officers of instruction may discuss individual discrimination complaints confidentially with the Assistant Provost, who will conduct an investigation and attempt to resolve the dispute.

B. Officers of Research

Officers of research are appointed full-time or part-time to engage in research conducted under the aegis and guidelines of the University. The various grades of research appointment are defined in Section 62 of the University Statutes, which forms Appendix 6 to this *Plan*. Further discussion of research officers and the procedures for their appointment and promotion is provided in the Provost's May 1985 *Memorandum on Policies and Procedures Governing the Appointment of Officers of Research* (hereafter "the May 1985 Memorandum") and in Chapter IV of the *Faculty Handbook 1987*, which is reprinted as Appendix 7. Nominations to research positions originate with the dean, chair, or director of the unit in which the officer will serve and require the approval of the Provost and Dean of Faculties before being transmitted to the appropriate appointing authority. With the exception of student officers—Graduate Research Assistants and Departmental Research Assistants—who are appointed by the Secretary of the University, all officers of research are appointed by the President of the University.

Officers of research are employed in a variety of ways, but they are always associated with a particular school, department, institute, or center. Appointments of officers of research are always made for specified terms of service in reference to the one or more research projects in which they are engaged. Senior Research Scientists/Scholars may be appointed for a term of up to five years. Other officers of research are appointed annually for a term of not more than twelve months which is renewable. While most research appointments are renewable, Postdoctoral Research Scientists/Scholars may not continue in that rank for more than three years, except with the special permission of the Provost and Dean of Faculties. Similarly, the Provost's permission is required to extend an appointment of a Postdoctoral Research or Clinical Fellow beyond the period of the program in which the Fellow is training. Generally, the Provost and Dean of Faculties permits extensions only to allow a postdoc to complete a training program or research project.

1. Recruitment and Appointment

Procedures used in appointing researchers require a special flexibility, made necessary by special conditions inherent in the research process. Researchers cannot be hired unless funding for a project

is assured, yet such funding depends frequently on the ability to persuade the funding source that the appropriate research team can be assembled. Similarly, the recruitment of a particular professor or researcher may require that one or several of his or her associates be brought to the University as well, in that they form an established research unit. Thus, research appointments and projects are closely intertwined. Within these limitations and in keeping with its policy of hiring without discrimination against any protected group status member, the University tries to achieve in its overall research staff a proportion of women and minority group members consistent with their availability.

All schools, departments, centers, and institutes that appoint research officers are required to have statements of standard search and evaluation procedures describing the procedures they follow in selecting these officers that are approved by the Provost's Office and on file in that office.[5] Statements from Health Sciences units conform with the guidelines set forth in the *1992 Health Sciences Memorandum*. Statements from units outside the Health Sciences are now being updated to conform with the guidelines in the *1993 Memorandum*.

Each statement sets forth the *Standard External Search Procedures* by which the unit identifies and selects candidates for research appointments. Statements from Morningside units whose current postdocs (Postdoctoral Research Scientists/Scholars and Postdoctoral Research Fellows) regularly form a pool from which officers of instruction or research are chosen set forth two additional procedures: *Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees*, describing the processes by which the unit's postdocs are initially identified and selected, and *Standard Internal Search Procedures*, describing the processes by which the unit selects, from among its current postdocs, individuals it seeks to appoint to positions as instructional or research officers. Morningside units setting forth these two procedures in their statements may appoint any of their postdocs to a position as a faculty member or research officer without conducting a full external search, if the candidate was initially selected in accordance with their *Standard External Search Procedures for the Initial Selection of Postdocs* and promoted according to their Standard Internal Search Procedures.

The *1992 Health Sciences Memorandum* permits Health Sciences units to promote postdocs (Postdoctoral Research Scientists/Scholars, Postdoctoral Research Fellows and Postdoctoral Clinical Fellows) to renewable faculty or research officer positions at the conclusion of their postdoctoral training period without a search if the postdocs were originally selected in accordance with the *Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees* set forth in the unit's statement. It also allows clinical departments which select their house staff members in accordance with their statement's description of *Affirmative Action Steps Taken in Connection with House Staff Selection* to appoint members of the house staff to full-time, renewable faculty or research officer positions without a search at the conclusion of their house staff training.

The search procedures in these statements provide for the careful and precise definition of all research openings and the even-handed review of all applications. They also provide for as wide a search for

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[5]Statements from units which also appoint full-time officers of instruction include a description of their standard search and evaluation procedures for these positions as well. See Section II(A)(1), above.

candidates as the circumstances of each particular research project allow, taking into account the duration of the project, the level of funding, and the availability of suitable candidates in the metropolitan area. Thus, they recognize that national advertisements in professional publications and public media may be appropriate for some positions, while for others advertising regionally may suffice.

2. Monitoring Process

No initial offer of appointment as a full-time compensated officer of research may be tendered to persons outside the University without the prior permission of the Provost and Dean of Faculties. In addition, units may obtain clearance prior to the appointment of postdocs or house staff members, if they contemplate offering these persons positions as officers of instruction or research at the conclusion of their house staff or postdoctoral training.

When seeking clearance to appoint someone from outside of the University, the unit ordinarily must submit a *Search Report*, a *Summary Statistical Data Report*, an *Applicant Pool Report*, a *Special Status Applicants Report*, and a *Most Qualified Candidates Report* to either the Faculty Affirmative Action Advisory Committee or the Health Sciences Affirmative Action Committee and obtain clearance by the Provost and Dean of Faculties before it can make the appointment.[6]

Certain types of appointments are excepted from the search requirement, but not the clearance requirement:

- Appointments deriving from the transfer of a grant from another institution to Columbia or from the receipt of a grant for which the agency required that an appropriate research team be assembled in advance.

- Appointments of individuals who form part of an established research unit headed by a newly-appointed faculty member or research officer.

- Promotion of an outstanding member of the research support staff to a position as an officer of research.

In addition, the late receipt of a grant or contract may require an "emergency" appointment for a limited period so that the work can begin before the principal investigator has completed a full search for the position.

In these instances, the Search Report must be accompanied by an explanation of the specific circumstances which gave rise to the appointment and the specific steps by which the selection of the proposed nominee was made.

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[6]See Appendices 3 and 4 for copies of these forms.

Postdoctoral appointments are excepted from both the search and clearance requirements on the Morningside campus, unless positions in these ranks regularly form a pool from which the unit later chooses officers of instruction or research.

Units at the Health Sciences are expected to file a *Report for Postdoctoral Appointees* with the Health Sciences Affirmative Action Committee prior to the appointment of all Postdoctoral Research Scientists/Scholars, Postdoctoral Research Fellows and Postdoctoral Clinical Fellows. If the appointment followed the unit's *Standard External Search Procedures for the Initial Appointment of Postdoctoral Appointees*, the *Report for Postdoctoral Appointees* is accompanied by the nominee's curriculum vitae and a *Search Report*, a *Summary Statistical Data Report*, an *Applicant Pool Report*, a *Special Status Applicants Report*, and a *Most Qualified Candidates Report*.[7] These forms are then reviewed by the Health Sciences Affirmative Action Committee. If the Committee clears the appointment, the postdoctoral appointee may be appointed to a full-time, renewable faculty or research officer position at the conclusion of the postdoctoral training without further search.

Clinical Health Sciences departments which select their house staff members in accordance with their statement's description of *Affirmative Action Steps Taken in Connection with House Staff Selection* also file annual search reports documenting the house staff selection process. The *Search Report for Categorical Residents* presents the following statistical information: race and sex breakdowns of all applicants; data on the numbers and percentages of women and of Blacks and Hispanics on the rank list; and race and sex breakdowns of all persons who matched. The *Rank Order Report* provides the race and sex of all persons ranked by the department (identified only by their rank number) and indicates which of these persons matched. The *Match List Report* provides, in alphabetical order, the name, sex and ethnicity of all persons on the match list.[8] All persons appearing on a *Match List Report* that was cleared by the Committee may be appointed to full-time, renewable faculty or research officer positions at the conclusion of their house staff training without further search.

3. Promotion

Each of the research ranks, as described in Appendix 6, has specific minimum professional qualifications associated with it, and a researcher's initial appointment at Columbia is governed by these guidelines.

Promotions from Staff Associate to Senior Staff Associate are made without further search. They are based on years of experience, professional accomplishments, degree of independence, and level of responsibility.

Promotion of Postdoctoral Research Scientists/Scholars to Associate Research Scientists/Scholars requires monitoring committee clearance and the approval of the Provost and Dean of Faculties. Health Sciences units requesting permission to appoint postdoctoral appointees or house staff members to full-time, renewable faculty or research officer positions at the conclusion of their training

[7] See Appendix 4 for copies of these forms.

[8] See Appendix 4 for copies of these forms.

without a search must submit the following to the Health Sciences Affirmative Action Committee: a *Search Report for Officers of Instruction and Research* indicating that the request is for an internal promotion based on prior affirmative action clearance; a *Summary Statistical Data Report;* and a copy of all documentation submitted to the Committee when the nominee was selected for his/her original position.

Units outside of the Health Sciences may make these promotions without an external search if the persons to be promoted were originally selected in accordance with their *units' Standard External Search Procedures for the Initial Selection of Postdoctoral Appointees,* and they received clearance at that time. In requesting permission to promote in this instance, the unit must submit a *Search Report* indicating that the decision to promote was made in accordance with its *Standard Internal Search Procedures* and a *Summary Statistical Data Report.* If the person selected was one of several postdocs eligible for promotion, the unit must also submit an *Applicant Pool Report,* a *Special Status Applicants Report,* and a *Most Qualified Candidates Report,* which describe the pool of internal candidates from which the person to be promoted was selected.

Other promotions within the officer of research ranks do not require prior clearance.

Promotion from Associate Research Scientist/Scholar to Research Scientist/Scholar requires procedures comparable to a new appointment as a Research Scientist/Scholar or Senior Research Scientist/Scholar. These procedures are analogous to those leading to a request for an *ad hoc* review of a proposed faculty appointment with tenure. They have been developed by each unit in accordance with the *May 1985 Memorandum* and assure a thorough evaluation prior to the formal vote by which the candidate is recommended for appointment to the appropriate senior officer (dean, vice president, chair, or director). The senior officer's review involves seeking the opinion of an advisory body of faculty and/or officers of research and the solicitation of letters of evaluation from established scientists and scholars outside the University who are familiar with the nominee's work.[9] The final decision on whether or not to forward a nomination to the Provost and Dean of Faculties is made by the dean or vice president. The Provost and Dean of Faculties may seek additional evaluations if he deems it necessary. No offer of appointment as a Research Scientist/Scholar or Senior Research Scientist/Scholar may be made until the Provost and Dean of Faculties has given his approval.

The procedures used in promoting Research Scientists/Scholars to Senior Research Scientists/Scholars are similar to those used by the various faculties in considering Associate Professors for promotion to the rank of Professor.

4. Compensation

Officers of research are paid in monthly installments during the period of their appointments. The Provost and Dean of Faculties annually issues guidelines which govern salary ranges and increases for each research rank throughout the University, with the exception of the Faculties of Medicine and

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[9]The second review is conducted by the Provost and Dean of Faculties for candidates in some of the smaller professional schools and centers.

of Dental and Oral Surgery, for which the Vice President for Health Sciences and Dean of the Faculty of Medicine issues separate guidelines. Within these guidelines, the various centers develop their own procedures for setting the salaries in each research rank, and it is the policy of the University to apply these procedures without discrimination against the protected group status of any individual holding an appointment as an officer of research. Initial salaries vary according to the experience, skills, and accomplishments of the officers, and reflect as well the pattern of compensation in the discipline in which they are working. Research officers' salaries are reviewed once a year, and increases are given in accordance with policies established by the faculty or division in which they are giving service. Research salaries on the Morningside Heights campus are reviewed by the Office of the Provost and Dean of Faculties; in the Health Sciences they are monitored by the Health Sciences Qualifications and Salary Review Committee and the Office of the Vice President for Health Sciences and Dean of the Faculty of Medicine.

No appointment as a compensated officer of research is made without the reasonable expectation of funding for the length of the stated term. However, since funding of a research project is dependent upon the receipt of a grant, a research appointment carries no obligation on the part of the University to guarantee the assigned salary, with the following exception: a unit wishing to make an appointment as a Senior Research Scientist/Scholar for more than twelve months must submit with the nomination a guarantee of the salary for the entire period. The salaries of Senior Research Scientists/Scholars who are appointed for twelve months or less are subject to available funding in the manner of other officers of research.

5. Termination and Nonrenewal

Officers of research receive a letter from the Secretary of the University which specifies the stated term of their appointments. No appointment as an officer of research may be involuntarily terminated before the end of that stated term, except for cause. Dismissal for cause is governed by the termination procedures set forth in the *Faculty Handbook 1987*. Officers of research are not entitled to written notice when their appointments will not be renewed beyond the stated term contained in the Secretary's letter.

Since the appointment of a research officer depends on the availability of research funds, renewals are contingent upon the continuation of the project in which the researcher is engaged or the commencement of a new project for which he or she is suited. For those researchers whose abilities are established, however, continuity of employment is not normally a problem, and institute directors, principal investigators, and those otherwise charged with the direction of the University's research activities make every effort to assure continuing research opportunities.

In the event that a research project unexpectedly loses funding and there is an interruption in salary, an officer of research is placed on a leave for lapse of funding until the end of the stated term of appointment or until funding is resumed, whichever occurs first. During a leave for lapse of funding, an officer may continue to receive certain insured benefits, as described in the *Faculty Handbook 1987*.

Officers of research with less than five years of continuous, full-time, non-instructional service are not entitled to a layoff allowance if their salaries are unexpectedly suspended due to a loss of funding. Officers with more than five years of such service receive an allowance according to the policies stated in the *Faculty Handbook 1987.*

6. Grievance Procedures

Officers of research are covered by grievance procedures described on page 71 of the *Faculty Handbook 1987*, which is reprinted in Appendix 7, pages A7 - 9 of this *Plan*. They also may discuss individual discrimination complaints confidentially with the Assistant Provost, who will upon request conduct an investigation and attempt to resolve the dispute.

C. Officers of the Libraries

Officers of the libraries are librarians appointed for full-time or part-time service by the Trustees or the President on the nomination of the Vice President for Information Services and University Librarian, with the exception of those in the Health Sciences who are nominated by the Assistant Vice President and Associate Dean for Scholarly Resources. The designation "librarian" applies only to a person professionally qualified to assemble appropriate collections of library materials, develop and maintain library services, and further the use of library and information resources for instruction and scholarship.

Librarians at Columbia are in some ways like instructional officers, in others like administrative personnel. They are expected to continue study and research in their field and to advance themselves professionally, while assuming, in many instances, increasing administrative and supervisory responsibility. Officers of the libraries thus hold both a professional rank and a position assignment, and they are hired and promoted in terms of each. The classification systems for both the professional ranks and position categories are described in Appendix 8 to this *Plan*.

1. Recruitment and Appointment

The Columbia Libraries recruit personnel from both inside and outside the University for vacant positions at all levels. The form the recruitment effort takes depends on the level of expertise and experience deemed necessary to meet the responsibilities of a position.

The Assistant Vice President for Human Resources of the University Libraries reviews each position vacancy before it is advertised to make sure that the description of the job duties is precise and complete and that the requirements of subject expertise, language skills, and experience are appropriate.

Positions are advertised widely through such media as the *Chronicle for Higher Education*, *American Libraries*, and *College and Research Library News*. Additionally, placement offices of various accredited library schools, primarily on the Eastern seaboard, are routinely contacted. For senior positions, peer members in the Association of Research Libraries are also asked to recommend

candidates. Notices of all vacancies are posted throughout the Columbia Libraries system to determine if there are members of the staff who are themselves interested in and qualified for a position or who can recommend a candidate for consideration.

All applications for a position receive consideration by staff members of the Libraries, and after all applicants are screened, the more promising candidates are invited for personal interviews. Final selection is made by the Vice President for Information Services and University Librarian, with the exception of those in the Health Sciences where it is made by the Assistant Vice President and Associate Dean for Scholarly Resources.

2. Monitoring Process

No initial offer of appointment as a full-time officer of the libraries may be tendered without prior affirmative action clearance by the Provost and Dean of Faculties. In requesting such clearance, the Vice President for Information Services and University Librarian[10] must submit to the Faculty Affirmative Action Advisory Committee the same materials as those required for instructional or research appointments. The Committee's review is similar to that conducted for faculty and research appointments, and the Provost and Dean of Faculties generally bases his affirmative action clearance on the Committee's recommendation.

3. Promotion

Because each officer of the libraries holds both a professional rank and a position assignment, possibilities for promotion are twofold: advancement in rank and elevation to a position of increased responsibility.

Theoretically, a librarian of lowest professional rank could be appointed to a position in any category, but generally the two systems of promotion, though distinct, are commensurate.

The general criteria for promotion in rank are quality of performance in the area of the candidate's responsibility, the quality of service on library committees and task forces, library instructional activities, professional activities outside the libraries, research and academic achievement, and participation in University affairs. While the quality of job performance is the most important consideration in any advancement in rank, an individual must achieve high distinction over a long period of time, not only at Columbia, but also in the profession generally for promotion to the highest rank of Librarian IV.

For all promotions in rank, a committee of five members of the professional staff—the Professional Review Committee—reviews materials prepared by the candidate and his or her supervisor and other documentation obtained by the Committee and makes recommendations to the Vice President for

[10]Clearance to appoint librarians at the Health Sciences is requested by the Assistant Vice President and Associate Dean for Scholarly Resources.

Information Services and University Librarian.[11] Any individual wishing to appeal a decision regarding a promotion in rank may invoke grievance procedures set forth in Appendix 9 to this *Plan*.

For promotion to a position having a greater degree of responsibility, an individual may compete for any vacant position in the library system. Internal candidates for library openings are not preferred to candidates from outside the University, and to secure a promotion of this kind, a current officer must prevail in the competition. As noted above, descriptions of all library vacancies and the qualifications required to fill them are posted regularly throughout the library system, and any individual who feels that he or she is suited for such a position may apply for it by contacting the Assistant Vice President for Human Resources. Promotions of this kind are subject to the same affirmative action review procedures described above for new hires.

4. Compensation

The system of salary remuneration for officers of the libraries takes into account both the nature of the duties performed and the quality of professional performance. Salary ranges have been established for the various combinations of rank and position category and are implemented in the libraries without discrimination against the protected group status of any individual. In each case the rank, position and professional performance of the individual determine salary.

5. Release and Termination

An officer of the libraries may be terminated either because of inadequate performance or because the officer's position is being eliminated.

When a termination results from financial exigency or the discontinuance or curtailment of an activity, every effort is made to relocate the individual within the library system. Should no other suitable position be available, up to six months' advance written notice of termination is given to the individual, depending upon the length of appointment. An individual who receives less is entitled to a severance allowance equal to one month of salary for each month of notice that was not received.

Whenever an appointment is terminated for inadequate performance, termination is preceded by a written explanation to the employee. The individual may contest such action by requesting a hearing before a committee, and the Vice President for Information Services and University Librarian[12] gives full consideration to the findings and recommendations of the committee in reaching a final decision.

Individuals not promoted in rank to Librarian II after a maximum of three years in service are not reappointed.

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[11]Recommendations regarding promotion of librarians at the Health Sciences are made to the Assistant Vice President and Associate Dean for Scholarly Resources.

[12]Committees addressing terminations of librarians at the Health Sciences address their findings and recommendations to the Assistant Vice President and Associate Dean for Scholarly Resources.

6. Grievance Procedures

Officers of the libraries may seek redress of grievances through procedures set forth in Appendix 9 to this *Plan*. Officers of the libraries may discuss individual discrimination complaints confidentially with the Assistant Provost, who will upon request conduct an investigation and attempt to resolve the dispute.

D. Officers of Administration and Members of the Supporting Staff

The administrative staff at Columbia comprises all officers of administration (including the President of the University, the vice presidents and the deans) and a supporting staff of technical, paraprofessional, clerical, secretarial, maintenance and service personnel.

1. Job Classification System

The University's job classification systems for its administrative officers and support staff groups positions are based on their duties and the qualifications required to fill them. Excepted from the grading system are certain high level executive positions. These systems are also used as a means of standardizing job descriptions, applicant qualifications and salary ranges for each job grade in the system. New administrative or supporting staff positions are specifically classified. The classification systems thus provide the information for the job listings and posting procedures described below and are essential to the objective establishment and review of salaries.

Any employee who considers the grade assigned to his or her position to be inappropriate may appeal its classification. The appeal is directed informally to the employee's departmental administrative head and then, in a written document, to the Compensation Department or Health Sciences Human Resources Office. If the job is not reclassified after this review and the position is covered under a union contract, further appeal is subject to the terms and conditions contained in the appropriate labor agreement. Employees who do not belong to a union may appeal to the Vice President for Human Resources or the Assistant Vice President-Human Resources at the Health Sciences who will appoint a Classification Appeal Committee, consisting of three individuals from academic and administrative departments other than Human Resources, to hear the complaint. The Committee makes its recommendation to the Vice President for Human Resources or the Assistant Vice President-Human Resources, who will make the final decision on the appeal.

2. Recruitment

Columbia has instituted recruitment strategies and procedures for administrative personnel which vary according to the level of the position and the utilization of women or minorities:

> *Standard Recruitment*: The University's job listing and posting procedure are designed to ensure that women and minorities are made aware of, and apply for, appropriate openings. All administrative and support staff vacancies must be listed with the Office of Employment or the Health Sciences Human Resources Office, depending upon where they are located, and,

with certain limited exceptions noted below, are included in the *Job Opportunities Listings*, a weekly recruitment flyer prepared by Employment. The *Listings*, which include position title, job description, grade, minimum qualification requirements and salary information, are sent by Employment to central University locations for posting for at least five working days. They are also forwarded to employment referral sources outside the University which have the capability to find qualified applicants.[13] During the five-day posting period, no offer of employment may be extended, although applicants may be screened and evaluated.

The posting policy also extends to openings for ungraded positions. Excepted from the posting requirement are certain non-salaried, casual and acting positions, certain reclassified jobs, certain positions connected with research grants, and certain positions for which there is a strong internal candidate,[14] when authorized by Employment.[15]

Intensive Recruitment:[16] Whenever an officer of administration or support staff job group is identified as a "problem area" in Part VI(F) of this *Plan* because of an underutilization of women or minority incumbents, an action-oriented program is established, as described in Part VI (H), mandating special recruitment efforts whenever vacancies occur. These efforts are referred to as "Intensive Recruitment."

The regular posting requirement of five days is extended to a minimum of twenty days in order to ensure an adequate search and recruitment effort for the position. Exceptions are permitted when 1) the person selected belongs to the group for which intensified recruitment is required or 2) the selection is required by union agreement. In those cases, the posting period may be as short as five days. Otherwise, exceptions must be authorized by the senior administrator to which the hiring unit reports.

Intensive Recruitment usually includes seeking referrals and recommendations of applicants through informal contacts within and outside the University and may include searches of professional files or college placement registries. Lists of current openings are sent to appropriate outside sources; advertisements may be placed in newspapers, professional journals or special interest publications, including those of minority and women's groups; and employment agencies, search firms and other specialized employment services are mobilized as needed.

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[13] These sources, listed in Appendix 11, are also contacted on a regular basis to encourage job referrals.

[14] An Internal Posting Procedure is available under some circumstances to departments which would like to offer a vacant position to one of their current permanent employees. See Appendix 10, Procedures for Recruitment, Affirmative Action and Selection for Administrative and Support Staff. This document is hereinafter referred to as "Procedures."

[15] This function also is performed in the Health Sciences by the Office of the Assistant Vice President-Human Resources. Henceforth in this report, Employment will also refer to that office.

[16] A detailed description of this process is found in Procedures, pages A10-7 and A10-8, below.

Recruitment of senior administrators: The University introduced new initiatives in 1993 to identify minority applicants for administrative vacancies at Grades 14 or above. They include the following:

Minority Search Plans: Those responsible for conducting the searches are required to discuss their plans for identifying minority candidates with the Vice President for Human Resources, the Director of Employment, or the Assistant Vice President-Human Resources at the Health Sciences before they begin any recruitment efforts. If a national search is planned, a written "minority search plan" is then developed, outlining specific efforts to identify qualified minorities around the country who might be appropriate candidates. Outside search firms are also required to meet with one of these officers to discuss procedures and fees. No positions at Grade 14 or above are posted until these discussions have taken place.

Extended posting: Departments are required to hold these positions open for 45 days from the date of posting unless the person selected is a minority.

3. Hiring

Interviewing and Referral Process: Most applicants for employment, transfer or promotion to administrative or supporting staff positions receive a screening interview by Employment. All qualified women or minority applicants for positions where Intensive Recruitment is required are referred to the hiring unit for interviews. For officer positions, the applicant also submits a resume which is reviewed by Employment and discussed with the hiring unit if appropriate. Applicants are generally referred to the hiring unit if they appear to meet the requirements for the job opening, although in some cases referrals may be based on additional job-related criteria specified by the hiring unit. A representative of each hiring unit is encouraged to meet with Employment to discuss resumes during or immediately following the posting period and to review on a continuing basis the unit's employment needs, its composition by sex and ethnicity and whether intensified affirmative action recruitment efforts might be appropriate. Besides encouraging such meetings, Human Resources prepares and distributes employment procedure handbooks and conducts employment workshops for newly-appointed department administrators and supervisors.

Application Forms: Columbia has developed standardized Application for Employment and Application for Transfer forms which are used throughout the University. Both forms are attached hereto as Appendix 12. They include only questions sanctioned by Government equal opportunity and affirmative action regulations and attempt to avoid any questions which may be inadvertently discriminatory.

Employment Testing: Each hiring unit which wishes to use a test to evaluate applicants for a particular job must submit a test proposal to Employment[17] which, along with the Assistant

[17]This function is performed in the Health Sciences by the Office of the Assistant Vice President-Human Resources.

Provost, ascertains whether the test meets the Uniform Guidelines on Employee Selection Procedures. Only tests approved by Employment may be used. Employment itself administers a standardized typing test for positions which require this skill.

4. Monitoring Process

Employment and the Health Sciences Human Resources Office: In view of their central role in filling administrative positions, these offices exercise overall responsibility for assuring that women and minority group members are identified and considered fairly for openings as officers of administration and supporting staff. They discharge their responsibility for ensuring non-discriminatory hiring through, in part, the use of applicant flow data and the Records/Information System described below in Sections III(A) and III(B) of this *Plan*.

These offices also have specific responsibility for monitoring recruitment and hiring among the supporting staff. No offer of employment is made for a supporting staff position without their prior review of the hiring unit's compliance with established affirmative action guidelines and procedures.

The Provost and Dean of Faculties and the Executive Vice President for Administration: Search reports for very senior administrative positions, including deanships and vice presidencies, are reviewed by the Provost and Dean of Faculties (if the position is as an academic administrator) or by the Executive Vice President for Administration (in the case of non-academic appointments). These reports include a narrative discussion of outreach efforts and results including, if the individual selected is not a minority, the reasons why each of the top minority applicants was not selected.

Vice President for Human Resources: No offer of appointment as an officer of administration may be made without the prior approval of the Vice President for Human Resources. For proposed appointments which have gone before the Administrative Monitoring Committee, the Vice President relies heavily on the judgment of that committee, which recommends that clearance be granted or denied after reviewing detailed documentation from the hiring unit.

Administrative Monitoring Committee: The Administrative Monitoring Committee is appointed by the Vice President for Human Resources. Its members consist of officers of administration from departments throughout the University and include women and minorities. The Director of Employment and the Assistant Provost serve as *ex officio* members. Two designees from Local 2110, United Auto Workers also participate in the Committee's reviews of searches for positions in the bargaining unit at Grades 7, 8, and 9.

The primary function of the Committee is to review materials submitted by hiring units in support of their requests for affirmative action clearance and to recommend an appropriate

response.[18] When documentation is unclear, the Committee may seek additional information from the hiring unit. In considering clearance requests, the Committee does not judge the qualifications of any applicant, but is concerned solely with ensuring that all affirmative action procedures have been followed, that the department's selectee has met at least the minimum requirements for the position, and that substantive reasons have been given for rejecting all minimally qualified "special status" applicants.

Senior University Administrators: Prior to filling any officer of administration or supporting staff position for which a hiring goal has been set, the hiring unit must complete a "New Hire Report" form (Appendix 13) and forward it to the appropriate senior administrative officer. The form provides information on recruitment activities and a numerical analysis of the race and sex, as identifiable of all applicants. If the person whom the department wishes to select is not a woman (if the hiring goal is for women) or a minority (if it is a minority hiring goal), the department must also briefly describe the reasons why each female or minority applicant was not chosen.

5. Promotion

The University encourages its employees to seek opportunities for promotion and bases its promotions on qualifications and performance. The upward movement of administrative and supporting staff personnel at Columbia is accomplished, in accordance with guidelines set forth in the *Personnel Policy Manual* and in union contracts, through two promotional routes, transfer and in-place development.

Transfer: In filling open positions, the University gives first consideration to recently laid-off employees and to current employees who meet the stated requirements of a job posting and who have completed at least six months of satisfactory employment in their present positions. Employment coordinates transfers and promotions by keeping an internal transfer candidate file and by working closely with various department representatives who help select or recommend individuals for promotion. Informal career review and counseling by members of Employment are used to assist employees in developing goals and potentials.

In-Place Development: In-place promotion takes place when an employee grows in response to the demands of a job. Employees who believe re-evaluation of their job classifications are merited are encouraged to consult with their supervisor to arrange thorough reviews of their duties by Compensation.

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[18]Documentation submitted to the Committee includes a *Position/Applicant Report Form, a Most Qualified Applicants Report*, and a *Special Status Applicants Report* as well as copies of resumes, postings, and advertisements. See Procedures, pages A10-9 through A10-11 and A10-48 through A10-50, below.

IV. SUPPORT OF PROGRAMS DESIGNED TO IMPROVE THE EMPLOYMENT OPPORTUNITIES OF MINORITIES AND WOMEN

Both the University's Office of Community Affairs and the several schools and divisions of the University support programs aimed at enhancing the employment opportunities of minorities and women. These include not only programs directly related to employment, but also educational programs, the result of which will be enhanced job possibilities. Examples include:

- Project Double Discovery, which provides support services for high school students from the surrounding communities with demonstrated academic potential. It seeks to assist these students in improving their level of achievement in public school, in increasing their likelihood of graduating from high school and of being accepted to college, and in expanding their employment opportunities.

- Specially-earmarked financial aid or monetary prizes in most of the schools and divisions.

- Support through faculty participation in several programs for disadvantaged New York City public school children. These include programs which provide an awareness of the employment possibilities in engineering, science, and medicine, and programs providing special classes in mathematics and science.

- Provision of access to University facilities for various community agencies, organizations and groups for job fairs and vocational seminars.

- Provision of employment opportunities for high school students during summer months within the various University offices.

- Identification of students and faculty members with particular skills and expertise to work with various community groups in developing programs that enhance employment and educational training of minorities.

V. PLAN REVISION AND DEVELOPMENT OF ANNUAL ANALYSES, GOALS, AND ACTION-ORIENTED PROGRAMS

Each year the Assistant Provost prepares new analyses and establishes new goals and action-oriented programs (presented in Chapter VI of this *Plan*) based on October 1 employee profiles and reports on work force changes during the previous twelve months. The Assistant Provost also reviews the narrative portions of the *Plan* and the data provided in the Appendices. The annual *Plan Update*, consisting of an updated Chapter VI and such changes as are necessary to Chapters I though V and the appendices (updating, for example, the *Plan*'s descriptions of the methodologies or sources used in estimating availability or its descriptions of the University's administrative structure, policies, or procedures) are distributed to all offices maintaining copies of the *Plan*.

VI. ANNUAL ANALYSES, GOALS, AND ACTION-ORIENTED PROGRAMS

A. Work Force Analysis

The University prepares an annual analysis of its work force entitled "Work Force Profile." This document provides information by department on all Columbia employees, ranking them from lowest to highest paid within each EEO-6/IPEDS Primary Occupational Activity category. Information on each employee includes work location, job group, census code (where applicable), grade or rank, tenure status (where applicable), type of appointment (where applicable), salary code, sex, and minority status. Reports are made for full-time persons in officer and supporting staff categories.

A copy of the *Affirmative Action Plan* is kept in the Office of the Assistant Provost. The workforce profile and all other statistical data may be reviewed upon request from representatives of authorized governmental agencies.

Table P1 is a grand total profile of all full-time University employees. Table P2 is a profile of all full-time Morningside campus employees. Table P3 is a profile of all Health Science campus full-time employees.

Grand Total
All Full-time Employees
October 1, 1995

TABLE P-1

	Total	Asian		Black		Hispanic		Native American		Other		Total Minority	Total Female	% Minority	% Female
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female				
Officers of Instruction	2,528	161	72	135	84	60	23	0	1	1,394	598	536	778	21.2%	30.8%
Officers of Research	916	190	63	6	8	30	14	0	1	432	172	312	258	34.1%	28.2%
Officers of the Libraries	126	4	8	0	0	1	2	0	0	41	70	15	80	11.9%	63.5%
Officers of Administration	2,153	67	81	120	258	81	121	0	1	610	814	729	1,275	33.9%	59.2%
Supporting Staff	3,252	119	187	403	580	590	427	1	1	434	510	2,308	1,705	71.0%	52.4%
Total Employees	**8,975**	**541**	**411**	**664**	**930**	**762**	**587**	**1**	**4**	**2,911**	**2,164**	**3,900**	**4,096**	**43.5%**	**45.6%**

All Full-time Employees
Morningside Campus
October 1, 1995

TABLE P-2

		Asian		Black		Hispanic		Native American		Other		Total Minority	Total Female	% Minority	% Female
	992	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female				
Officers of Instruction		74	29	22	13	18	7	0	1	624	204	164	254	16.5%	25.6%
Officers of Research	362	80	12	3	2	13	4	0	1	191	56	115	75	31.8%	20.7%
Officers of the Libraries	126	4	8	0	0	1	2	0	0	41	70	15	80	11.9%	63.5%
Officers of Administration	1,378	41	51	63	99	47	41	0	1	489	546	343	738	24.9%	53.6%
Supporting Staff	2,053	58	74	299	333	433	200	1	0	331	324	1,398	931	68.1%	45.3%
Total Employees	**2,858**	**199**	**100**	**88**	**114**	**79**	**54**	**0**	**3**	**1,345**	**876**	**637**	**1,147**	**22.3%**	**40.1%**

All Full-time Employees
Health Sciences Campus
October 1, 1995

TABLE P-3

	Total	Asian		Black		Hispanic		Native American		Other		Total Minority	Total Female	% Minority	% Female
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female				
Officers of Instruction	1,536	87	43	113	71	42	16	0	0	770	394	372	524	24.2%	34.1%
Officers of Research	554	110	51	3	6	17	10	0	0	241	116	197	183	35.6%	33.0%
Officers of Administration	775	26	30	57	159	34	80	0	0	121	268	386	537	49.8%	69.3%
Supporting Staff	1,199	61	113	104	247	157	227	0	1	103	186	910	774	75.9%	64.6%
Total Employees	**2,865**	**223**	**124**	**173**	**236**	**93**	**106**	**0**	**0**	**1,132**	**778**	**955**	**1,244**	**33.3%**	**43.4%**

B. Employment Profiles

1. Officers of Instruction

There are currently 68 functioning departments of instruction at Columbia, ten of which—Architecture, Planning and Preservation; the Arts; Business; Dental and Oral Surgery; International and Public Affairs; Journalism; Law; Nursing; Public Health; and Social Work—are also faculties or schools of the University. A 69th unit is formed by the American Language Program, which is independently staffed and concerned solely with providing non-credit English language instruction for foreign students; it is administered by the Division of Special Programs of the Arts and Sciences.

For purposes of this *Affirmative Action Plan*, the University has grouped these 69 units into 16 reporting units. Each reporting unit is either a department representing an individual discipline or a combination of departments having similar disciplines.

The various departments are listed below, with each affirmative action reporting unit shown in italics:

Arts and Sciences Departments

Humanities Departments
- Art History and Archaeology
- Classics
- East Asian Languages and Cultures
- English and Comparative Literature
- French and Romance Philology
- Germanic Languages
- Italian
- Middle East and Asian Languages and Cultures
- Music
- Philosophy
- Religion
- Slavic Languages
- Spanish and Portuguese

Social Sciences Departments
- Anthropology
- Economics
- History
- Political Science
- Psychology
- Sociology
- International and Public Affairs

Natural Sciences Departments
- Astronomy
- Biological Sciences
- Chemistry
- Geological Sciences
- Mathematics
- Physics
- Statistics

School of the Arts

Professional Departments

Graduate School of Architecture, Planning and Preservation

Graduate School of Business

School of Engineering and Applied Science
- Applied Physics
- Chemical Engineering, Materials Science and Mining Engineering
- Civil Engineering and Engineering Mechanics
- Computer Science
- Electrical Engineering
- Industrial Engineering and Operations Research
- Mechanical Engineering

School of Journalism

School of Law

School of Social Work

Undergraduate Departments

American Language Program

Physical Education and Intercollegiate Athletics

Health Sciences Departments

Basic Health Sciences Departments
- Anatomy and Cell Biology
- Biochemistry and Molecular Biophysics
- Genetics and Development
- Microbiology

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Pathology
Pharmacology
Physiology and Cellular Biophysics

Clinical Health Sciences Departments
Anesthesiology
Dermatology
Medical Informatics
Medicine
Neurological Surgery
Neurology
Obstetrics and Gynecology
Ophthalmology
Orthopedic Surgery
Otolaryngology/ Head and Neck Surgery
Pediatrics
Radiation Oncology
Radiology
Rehabilitation Medicine
Surgery
Urology

School of Dental and Oral Surgery

School of Nursing

School of Public Health

G. Establishment of Goals

Nine job groups were identified as requiring hiring goals due to their underutilization of women or minorities. The table below identifies the goals for each of these job groups.

Table GS-1: 1995-96 Annual Hiring Goals

Job Groups/Categories	Target Group	Percentage Goal	Expected Profile
OFFICERS OF INSTRUCTION			
Humanities Professors & Associate Professors	Women	35.1	41
Basic Health Sciences Professors & Associate Professors	Minorities	11.9	5
OFFICERS OF RESEARCH			
Social Sciences Research Scientists/Scholars	Women	35.9	2
Social Sciences Other Professional Research Officers	Women	55.2	6
OFFICERS OF ADMINISTRATION			
Executive,Admin.,Managerial(M) All other categories	Minorities	28.1	128
Service Maintenance(M) All categories	Minorities	70.1	11
SUPPORT STAFF			
Service Maintenance Bldg & Grounds, Laborers (M)	Women	30.5	103
Skilled Crafts All Categories *(M)*	Women	10.3	10
Secretarial/Clerical Clerks & Receptionists *(HS)*	Women	87.9	192

1. Officer of Instruction Goals

These are annual goals, covering 1996-97 hires and promotions into the senior faculty ranks in the Humanities and the Basic Health Sciences.

The Percentage Goal for the appointment of women as professors and associate professors in the Humanities is based upon their availability pool percentage for this job group in the October 1, 1993 utilization analysis. The Percentage Goal for minorities to appointments as professors or associate

professors in the Basic Health Sciences has been derived from their availability pool percentage for this job group in the October 1, 1995 utilization analysis.

2. Officers of Research Goals

Annual goals were established for women in the Social Sciences in both Research Scientists/Scholars and Other Professional Research Officers categories. The percentage goals are based on availability pool percentage for the largest groups.

3. Officer of Administration and Support Staff Goals

As indicated in Table GS-1, these are annual goals. Percentage Goals are the availability pool percentages for the Target Group, as shown in the October 1, 1994 utilization analysis.

H. Establishment of Action-Oriented Programs

1. Action-Oriented Programs Addressed to Potential Problem Areas

Professors and associate professors in the Humanities. The Vice President for Arts and Sciences and Dean of the Faculty of Arts and Sciences will send a memorandum to the department chairs in the Humanities explaining our findings and alerting them to the continuation of a three-year hiring goal for women at the professor and associate professor level. It also will ask that special efforts be made to locate qualified women for future vacancies, that any who do apply receive careful consideration and that requests for clearance to appoint new faculty include detailed explanations for the rejection of each unsuccessful female applicant. A copy of this memorandum will be sent to the chair of the Faculty Affirmative Action Advisory Committee.

Professors and associate professors in the Basic Health Sciences. The Vice President for Health Sciences and Dean of the Faculty of Medicine will send a memorandum to the department chairs in the Basic Health Sciences which will (a) alert them to the underutilization of minorities in this job group, (b) describe our hiring goal and ask them to make special efforts to assure that the goal is met, including a statement in all advertisements of our particular interest in minority candidates, and (c) ask that all requests for clearance to appoint new senior faculty include detailed explanations for the rejection of each unsuccessful minority candidate. A copy of this memorandum will be sent to the chair of the Health Sciences Affirmative Action Committee.

Other full-time faculty in the School of Nursing. The Vice President for Health Sciences and Dean of the Faculty of Medicine will send a memorandum to the Dean of the School of Nursing explaining why the lack of minorities among junior faculty, while statistically expected, is nonetheless a cause for concern. The memorandum will ask that special efforts be made to locate qualified minorities for future vacancies, that those who do apply receive careful consideration and that requests for clearance to appoint new junior faculty include detailed explanations for the rejection of each unsuccessful minority. A copy of this memorandum will be sent to the chair of the Health Sciences Affirmative Action Committee.

Research Scientists/Scholars and other Professional Research Officers in the Basic Health Sciences. The Vice President for Health Sciences and Dean of the Faculty of Medicine will send a memorandum to department chairs and institute and center directors hiring officers of

research in the Basic Health Sciences. The memorandum will address the underutilization of women. The memorandum will also explain why the continuing lack of minorities among research scientists/scholars in their units, while statistically expected, is nonetheless a cause for concern. It also will ask for a continuation of special efforts to locate qualified minorities for research scientist/scholar vacancies, that those who do apply receive careful consideration, and that all requests for clearance to appoint new researchers at these ranks continue to include detailed explanations for the rejection of each unsuccessful minority applicant. A copy of this memorandum will be sent to the chair of the Health Sciences Affirmative Action Committee.

Morningside Officer of Administration educational administrators and other managers and administrators; Morningside Supporting Staff Secretarial/Clerical general office supervisors and library clerks. Applicant flow in these job groups will be monitored during the 1995-96 affirmative action year. If minority selections continue to occur at a lower than expected rate, further actions will be taken.

Officer of administration editors, reporters and public relations specialists at Morningside; Morningside officer of administration guards and supervisors and supporting staff Service/Maintenance building and cleaning workers and Technical/Paraprofessional computer and peripheral equipment operators; Health Sciences supporting staff Skilled Crafts other mechanics and repairers and Service/Maintenance animal caretakers. The Office of Equal Opportunity and Affirmative Action will be contacted whenever there is a vacancy in one of these job groups. That office will then remind the hiring unit that the position must be filled in accordance with the rules governing Intensive Recruitment of women and that a New Hire Report must be signed by the senior administrator to whom the unit reports before the preferred candidate can be officially hired.

Officer of administration administrative support occupations supervisors at Morningside; other managers and administrators in departments reporting to the Provost and Dean of Faculties; supporting staff Secretarial/Clerical general office supervisors and library clerks in departments reporting to the Provost and Dean of Faculties. The Office of Equal Opportunity and Affirmative Action will be contacted whenever there is a vacancy in one of these job groups. That office will then remind the hiring unit that the position must be filled in accordance with the rules governing Intensive Recruitment of minorities and that a New Hire Report must be signed by the senior administrator to whom the unit reports before the preferred candidate can be officially hired.

Supporting staff Secretarial/Clerical mail clerks and messengers at Administrative Information Services. AIS will contact agencies specializing in the placement of women in non-traditional jobs whenever they have a vacant messenger position.

2. General Action-Oriented Programs

We will continue monitoring the administration of two employment and promotion tests in conformity with the Uniform Guidelines on Employee Selection Procedures.

APPENDIX A

INSTRUCTIONS FOR PREPARING THE STATEMENT OF STANDARD SEARCH AND EVALUATION PROCEDURES

Each department, school, institute and center and the University Libraries must have on file in the Office of the Provost an approved Statement of Standard Search and Evaluation Procedures. A statement may contain up to three parts, depending on the type of searches the unit conducts.

Each statement must contain the Standard External Procedures for each rank to which the unit normally makes full-time, compensated appointments. These must ensure a wide solicitation of candidates and a thorough examination of their comparative qualifications.

This portion of the statement should describe the standard procedures for selecting the following categories of officers:

I. Officers of Instruction

   A. Tenured Faculty
   B. Nontenured Faculty
   C. Visiting Faculty (where appropriate)

II. Officers of Research

   A. Professional officers of research (senior research scientist/scholar, research scientist/scholar, associate research scientist/scholar, including those with modified titles)

   B. Staff officers of research (senior staff associate and staff associate)

III. Officers of the Libraries

If the procedures for appointments to various ranks within each category listed above differ, they must be described separately. If one set of procedures apply to more than one category, this may be noted in lieu of restating them.

A department whose postdoctoral research scientists/scholars and postdoctoral research fellows routinely form a pool from which candidates are selected for appointment to instructional and higher research ranks must set forth its Standard External Search Procedures for the Initial Selection of Postdocs. (Those units whose postdocs remain at the University for a limited term solely for the purpose of receiving postdoctoral training need not describe

their selection process.)

A unit that selects its postdocs through the standard procedures described above must describe its Standard Internal Procedures for choosing those that they wish to promote to instructional or higher research ranks. These procedures may take the place of a full external search.

The descriptions of these procedures should include the following information:

- How the need for a position is determined and how the position is defined;
- For standard external searches, how a vacancy is made known to the professional world, listing the specific journals, registries, and other means that are regularly used for advertising and for seeking women and minority candidates;
- For internal searches, how the pool of candidates is identified and how the vacancy is made known to them;
- The criteria used for evaluating candidates;
- The bodies (executive committee, appointments committee, special search committee) which screen the applicants, choose candidates for interviews, and make the final selection, and the processes by which each of these steps is taken.

If the timing of the search is keyed to external cycles of activities, such as meetings of professional societies or the selection procedures of a competition, these cycles should be noted.

APPENDIX B

INSTRUCTIONS FOR COMPLETING THE AFFIRMATIVE ACTION FORMS FOR CLEARANCES

Form I: SEARCH REPORT FOR OFFICERS OF INSTRUCTION AND RESEARCH

1. This form must be included as part of every clearance request. You may enter as many as five candidates for whom you are seeking clearance on one copy of the form, provided that they have all been recruited through a single search.

2. For each nominee, state his or her name, proposed title and anticipated stating date. If you want to make an appointment for a limited period due to circumstances that preclude a full search, indicate the anticipated end date.

3. Indicate whether the search conforms to one of your standard procedures, as described in your Statement of Standard Search and Evaluation Procedures, or if it is a variance from those procedures.

4. The form must be signed by the dean, director or chairman, or an authorized representative. Clearances from the School of Engineering and Applied Science also require the signature of the representative of the dean while clearances from the Arts and Sciences must be signed by the representative of the vice president.

Form II: SUMMARY STATISTICAL DATA

1. This form must be included as part of every clearance request, even when the proposed nominee was the only candidate you considered for appointment.

2. In section I, indicate the number of applicants by gender and ethnic category. Please note that we no longer use a special designation for applicants of uncertain ethnicity. If applicants have not volunteered information on their ethnicity and you cannot infer it from their applications, you should count them as non-minorities.

3. In section II, provide aggregate data on the total number of most qualified candidates and on the number who are women and minorities.

4. Section III calls for information on the nominee(s). Indicate the total number of candidates for whom you are seeking clearance and the number who are women, minorities, persons with disabilities, Vietnam Era veterans and special disabled veterans. Definitions of these "special status" categories are included in Appendix C of this document. For candidates who are minorities, also include the appropriate ethnic codes.

Form III: APPLICANT POOL REPORT

1. This form should be used if more than one applicant was considered for the appointment.

2. List in alphabetical order everyone who applied for the appointment or was approached about his or her availability, including the most qualified candidates and the nominee(s).

3. For each applicant, show the current institutional affiliation, source of referral (e.g., whether he or she responded to an advertisement, job announcement or registry listing, was approached by a member of the search committee, was recommended by someone at another university or inquired about an appointment), and the date of formal interview, if any occurred.

4. On the basis of your own knowledge, the applicants' own declarations, or a reasonable inference from materials submitted by the applicants, indicate whether each applicant has a "special status", as defined in Appendix C.

Form IV: SPECIAL STATUS APPLICANT REPORT

List all applicants in special status categories who were not considered to be among the most qualified, and briefly state the specific reasons for judging them not qualified for the appointment.

Form V: MOST QUALIFIED CANDIDATES REPORT

1. List in descending order of preference all applicants who were judged to be most qualified for the appointment(s) and were given serious consideration, including any who withdrew their applications or, if they were approached about their interest in the position(s), declined to be considered.

2. State in a few sentences the specific reasons for selecting the nominee(s) and for judging the others less qualified.

3. If an applicant withdrew or was found to be unavailable, indicate the source of this information and, if you know, the reasons for the applicant's decision.

APPENDIX C
SPECIAL STATUS DEFINITIONS

In addition to women, the following have special status under federal equal opportunity and affirmative action legislation:

Minority: Any person having racial or ethnic origins defined by one of the following five categories:

CODE

A = Black (not of Hispanic origin): A person having origins in any of the black racial groups of Africa.

B = Asian or Pacific Islander: A person having origins in any of the peoples of the Far East, Southeast Asia, or the Pacific Islands (e.g., China, Japan, Korea, the Philippine Islands, and Samoa).

C = American Indian or Alaskan Native: A person having origins in any of the original peoples of North America who maintains cultural identification through tribal affiliation or community recognition.

D = Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture, or origin, regardless of race.

J = Asian Indian: A person having origins in any of the peoples of the Indian Subcontinent (Bangladesh, Bhutan, India, Nepal, Pakistan, and Sri Lanka).

Person with Disability: A person who (1) has a physical or mental impairment which substantially limits one or more of such person's major life activities; (2) has a record of such impairment, or (3) is regarded as having such an impairment.

Vietnam Era Veteran: A person who (1) served on active duty for a period of more than 180 days, any part of which occurred during the Vietnam Era (August 5, 1964 through May 7, 1975), and was discharged or released therefrom with other than a dishonorable discharge, or (2) was discharged or released from active duty for a service-connected disability if any part of such duty was performed during the Vietnam Era.

Special Disabled Veteran: (1) A veteran who is entitled to compensation (or who but for the receipt of military retired pay would be entitled to compensation) under laws administered by the Veterans Administration for a disability (a) rated at 30 percent or more, or (b) rated at 10 or 20 percent in the case of a veteran who has been determined under Section 1506 of Title 38, U.S.C. to have a serious employment handicap, or (2) a person who was discharged or released from active duty because of a service-connected disability.

Form V

Columbia University
Affirmative Action Program
Morningside Campus

Most Qualified Candidates Report

Date: _____ **Page** _____ **of** _____

_____ _____
School/Department/Institute/Center Academic Title

List in descending order of preference, using additional pages as necessary, those applicants on Form III who were judged to be the most qualified for the position, including any who withdrew from consideration. State in a few sentences the specific reasons for this judgment. If the candidate withdrew or was found to be unavailable, state when and how this information was secured, and if known, the reasons for the candidate's withdrawal.

Name of Candidate	Reasons for Selection/Non-Selection
100	101

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COLUMBIA UNIVERSITY

COLUMBIA UNIVERSITY

Form I

Columbia University
Affirmative Action Program
Morningside Campus

Search Report for Officers of Instruction and Research

_____ _____
School/Department/Institute/Center Date

Affirmative action clearance is requested to offer an appointment to:

	NAME	TITLE	APPOINTMENT DATES Start	End (if relevant)
1.				
2.				
3.				
4.				
5.				

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The nomination is proposed on the basis of:

☐ **An External Search:** As set forth in our Statement of Standard Search and Evaluation Procedures.
(Attach copies of ads and/or other notices, along with Forms II, III, IV and V.)

☐ **An Internal Search:** As provided for in our Statement of Standard Search and Evaluation Procedures.
(Attach Forms II, III, IV and V.)

☐ **A Variance from Standard Search Procedures:** Occasioned by the circumstances described on the page(s) attached.
(Attach Form II and Forms III, IV, and V if there were more than one candidate for the position.)

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_____ _____
Chairman/Director (Signed) **Date** **Dean/Vice President (Signed)** **Date**

Columbia University
Affirmative Action Program
Morningside Campus

Summary Statistical Data

I. Applicants (Form III)

Ethnic Code:	Non-Minority (E)	African American (A)	East Asian/ Pac. Islander (B)	American Indian (C)	Hispanic (D)	Asian Indian (J)	Total Minorities	TOTAL
Male								
Female								
TOTAL								

II. Most Qualified Candidates (Form V)

Total _____

Females _____

Minorities _____

III. Nominees (Indicate the number of nominees in each category. If any are minorities, use the appropriate ethnicity codes, as listed above.)

Total _____

Women _____

Minorities _____

Disabled _____

Disabled Veteran _____

Vietnam Veteran _____

COLUMBIA UNIVERSITY

COLUMBIA UNIVERSITY

Form III

Columbia University
Affirmative Action Program
Morningside Campus

Applicant Pool Report

Page _____ of _____

Date: _____

_____ _____
School/Department/Institute/Center Academic Title

List alphabetically, using additional pages as necessary, all applicants for the position, including those listed as most qualified on Form V. State the current institutional affiliation of each applicant, the source of the referral (advertisement, registry, self-referral, etc.), and when relevant, the date of formal interview. Using the "special status" definitions in Appendix C of the instructions, indicate which of the applicants you know to fall into one of these categories. While individuals are not obliged to declare their "special status," you are encouraged to ascertain from their applications and interviews whether they belong to one of the groups covered by affirmative action.

NAME OF CANDIDATE	CURRENT INSTITUTIONAL AFFILIATION	REFERRAL SOURCE	DATE INTERVIEWED	SPECIAL STATUS				
				Fem.	Min.	Disabl.	Dis. Vet.	Viet. Vet.

106

97

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Form IV

Columbia University
Affirmative Action Program
Morningside Campus

Special Status Applicant Report

Date: _____ Page _____ of _____

_____ _____
School/Department/Institute/Center Academic or Research Title

List alphabetically, using additional pages as necessary, all applicants in a group defined as "Special Status" who were judged not to be among the most qualified for the position included on Form V). Briefly state the reasons for excluding each from consideration for the appointment.

Name of Candidate	Reasons for Non-Selection

COLUMBIA UNIVERSITY

Appendix F

ADA RESOURCES AND APPROPRIATE INTERVIEW QUESTIONS UNDER THE ADA

For information regarding accessibility and reasonable accommodations for persons with disabilities you may call the:

- Office of Disability Services, (212) 854-2388
- Employee and Labor Relations Office, (212) 870-2801
- Employment Office, (212) 854-3804
- Health Sciences Human Resources Office, (212) 305-3819

EMPLOYERS CANNOT:

- Ask if a person has a disability.
- Inquire as to the nature of an observed disability.
- Ask applicant to reveal any prior illnesses, diseases, medical conditions or hospitalizations.
- Inquire into the health status of family members or the potential use of sick leave.
- Ask applicant questions concerning travel and mobility (unless it is an essential function of the job).
- Inquire how the individual became disabled or the prognosis for the applicant.
- Ask questions about the applicant's past on-the-job injuries.
- Ask whether the individual has ever filed a workers' compensation claim.
- Ask about problems the individual has had because of a disability.
- Ask whether the applicant has any physical defects that preclude the applicant from performing certain kinds of work, or ask the applicant to describe such defects or specific work limitations.

ADA RESOURCES AND APPROPRIATE INTERVIEW QUESTIONS UNDER THE ADA - 2

EMPLOYERS CAN:

- If the individual has a visible disability or self-identifies as having a disability, ask whether any accommodations or assistance would be needed during the interviewing process.
- Give the individual a copy of the job description that identifies all essential functions and ask whether the individual is able to perform all of those essential functions with or without an accommodation.
- Ask the individual to explain or demonstrate how he or she can perform the essential functions of the job.
- State the employer's attendance policy and ask whether the individual can comply with the attendance requirements for the position if attendance is essential to the job functioning.

APPENDIX 11

Recruitment Sources Receiving Weekly Job Opportunities Listing

Aging in America

Bronx Community College Career Services

City College Career Services

Direct Marketing Training Program of the National Organization of Women

Economic Manpower Center

Federation of the Handicapped

Helping Hand

Job Tap Centers

John Jay College of Criminal Justice Career Advisement

Just One Break

Local 1199

Local 2110 - UAW

Mid-Manhattan Adult Learning Center

New York City Technical College Placement Office

New York State Department of Labor

Non-Traditional Employment for Women

Private Industry Council

SUNY Educational Opportunity Center

Taylor Business Institute

Technical Career Institute

Worker Opportunity Re-employment Center

NOTE: The Job Opportunities Listing may be accessed free-of-charge by users of the Internet system.

APPENDIX 16

GUIDELINES ON ASSIGNMENT OF EEO-6 PRIMARY OCCUPATIONAL ACTIVITY CODES

EEO-6 Category (Occupation Code)

a. Executive, Administrative and Managerial (E.A.M.) (O.C.=01)

Include all persons whose assignments require primary (and major) responsibilities for management of the institution, or a customarily recognized department or subdivision thereof. Assignments require the performance of work directly related to management policies or general business operations of an academic or administrative department or subdivision, etc. It is assumed that assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgement, and to direct the work of others. Report in this category all officers holding such titles as President, Vice President, Dean, Director, or the equivalents, as well as officers subordinate to any of these administrators with such titles as Associate Dean, Assistant Dean, executive officers of academic departments (chairmen, department heads, or the equivalent) if their principal activity is administrative.

NOTE: All of the managers/clerical supervisors who are officers of administration should be in this occupation code. Supervisory personnel of the technical, clerical, craft, and service/maintenance force should be reported within the specific categories if they are not officers of administration.

RULE: Officers of administration who are executives, e.g., President, Vice President, Dean, or Director should be classified E.A.M.

RULE: Officers of administration who are managers and supervise three or more full time, salaried, non-student, non-clerical staff are classified E.A.M. (e.g., project leaders and managers at CUCCA should be classified E.A.M.).

RULE: Departmental Administrators, Administrative Assistants and Office Managers who are officers of administration should be classified E.A.M.

RULE: Persons holding academic titles such as Associate Dean, Assistant Dean, or Department Chair whose principal activities are administrative should be classified E.A.M.

RULE: All officers of administration who are non faculty and who do not fit any of the above four rules should be classified P.N.F.

b. Faculty (O.C.=02)

Include all persons whose specific assignments are made for the purpose of conducting instruction, research, or public service as a principal activity (or activities), and who hold academic-rank titles of professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any one of these academic ranks. Report in this category only those Deans, Directors, or the equivalent, as well as Associate Deans, Assistant Deans, and executive officers of academic departments (chairmen, department heads, or the equivalent) whose principal activity is instructional.

c. Professional Non Faculty (P.N.F.) (O.C.=03)

Include in this category persons whose assignments would require either college graduation in a particular

discipline or experience of such kind and amount as to provide a comparable background. Included would only be staff members with assignments requiring specialized professional training (e.g., architects, lawyers, computer personnel, etc.) who should not be reported under E.A.M. or Faculty.

RULE: The P.N.F. category will contain officers of administration, officers of the libraries, and some upper-level supporting staff. Supporting staff will constitute a small part of this category. Examples of supporting staff positions classified P.N.F. are the part-time physicians, nurses and social workers at the Health Service.

RULE: All officers of administration who are non faculty and do not belong to the E.A.M. classification are to be classified P.N.F.

RULE: All officers of research are to be classified P.N.F. Those research titles that fall under P.N.F. are:

1. Senior Research Scientist/Scholar
2. Research Scientist/Scholar
3. Associate Research Scientist/Scholar
4. Special Research Scientist/Scholar
5. Postdoctoral Research Scientist/Scholar
6. Visiting Officer of Research
7. Senior Staff Associate
8. Staff Associate

d. Secretarial/Clerical (O.C.=04)

Include all persons whose assignments typically are associated with clerical activities or are specifically of a secretarial nature. Include personnel who are responsible for internal and external communications, recording and retrieval of data (other than computer programmers) and/or information and other paper work required in an office, such as bookkeepers, stenographers, clerk typists, office machine operators, statistical clerks, payroll clerks, etc. Include also sales persons, such as those employed full-time in the bookstore, and most library personnel who are not officers of the libraries.

e. Technical/Paraprofessional (T.P.P.) (O.C.=05)

Include all persons who assignments require specialized knowledge or skills which may be acquired through experience or academic work such as is offered in many 2-year technical institutes, junior colleges or through equivalent on-the-job training. Include computer programmers and operators, draftsmen, engineering aides, junior engineers, mathematical aides, licensed, practical or vocational nurses, dieticians, photographers, radio operators, scientific assistants, technical illustrators, technician (medical, dental, electronic, physical sciences), and similar occupations not properly classifiable in other occupational-activity categories but which are institutionally defined as technical assignments.

Include persons who perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience than normally required for professional or technical status. Such positions may fall within an identified pattern of staff development and promotion and are characterized as "learning" positions leading toward Professional Non Faculty jobs. These persons are generally higher level supporting staff with non-clerical responsibilities who operate under closer supervision than officers of administration.

RULE: Only supporting staff are classified T.P.P.

RULE: For most types of professional work (e.g., editors, nurses, counselors, programmers, and photographers), persons who are officers of administration and are not considered E.A.M. are classified as

P.N.F. while persons in these professions who are supporting staff are classified as T.P.P. Research titles that are classified T.P.P. are:

1) Senior Research Staff Assistant
2) Research Staff Assistant
3) Research Staff Engineer
4) Research Staff Scientist
5) Research Staff Member
6) Research Assistant
7) Senior Research Worker
8) Research Worker

f. Skilled Crafts (O.C.=06)

Include all persons whose assignments typically require special manual skills and a thorough and comprehensive knowledge of the processes involved in the work acquired through on-the-job training and experience or through apprenticeship or other formal training programs. Include mechanics and repairmen, electricians, stationary engineers, skilled machinists, carpenters, compositors and typesetters.

g. Service/Maintenance (O.C.=07)

Include persons whose assignments require limited degrees of previously acquired skills and knowledge and in which workers perform duties which result in or contribute to the comfort, convenience and hygiene of personnel and the student body or which contribute to the upkeep and care of buildings, facilities or grounds of the institutional property. Include chauffeurs, launderers and dry cleaning operatives, cafeteria and restaurant workers, truck drivers, bus drivers, garage laborers, custodial personnel, gardens and groundskeepers, refuse collectors, construction laborers and security personnel.

THE UNIVERSITY OF MICHIGAN
UNIVERSITY LIBRARY
DISTRIBUTION OF STAFF OF COLOR - LONGITUDINAL STATISTICS

TOTAL STAFF

RACE / YEAR	Asian	African American	Hispanic	Native American	Total Minorities	Total Staff	% of Total Staff
1985	27	14	3	3	47	355	13.2
1986	30	21	2	2	55	367	15
1987	29	19	3	2	53	355	14.9
1988	34	24	4	2	64	372	17.2
1989	32	26	5	2	65	377	17.2
1990	34	29	7	2	72	360	20
1991	40	35	8	2	85	374	22.7
1992	34	40	8	3	85	368	23.1
1993	38	36	10	4	88	369	23.8
1994	40	43	9	4	96	377	25.5
1995	37	39	12	3	91	372	24.5
1996	34	39	9	3	85	382	22.3
1997	38	39	10	3	90	389	23.1

CLERICAL STAFF

RACE / YEAR	Asian	African American	Hispanic	Native American	Total Minorities	Total Staff	% of Total Staff
1985	10	9	2	1	22	153	14.4
1986	10	12	2	1	25	153	16
1987	11	10	3	1	25	149	16.7
1988	16	13	2	1	32	151	21.2
1989	15	13	3	1	32	150	21.3
1990	17	15	5	1	38	129	29.5
1991	22	17	5	1	45	142	31.7
1992	18	19	4	2	43	127	33.9
1993	18	20	9	3	50	134	37.3
1994	20	25	8	2	55	135	40.7
1995	16	24	9	2	51	136	37.75
1996	11	21	4	3	39	136	28.7
1997	14	21	3	3	41	141	29.1

PROFESSIONAL & ADMINISTRATIVE STAFF

RACE / YEAR	Asian	African American	Hispanic	Native American	Total Minorities	Total Staff	% of Total Staff
1985	5	2	1	2	10	87	11.5
1986	4	5	0	1	10	94	11
1987	3	5	0	1	9	93	9.6
1988	2	5	1	1	9	99	9.1
1989	3	5	0	1	9	102	8.8
1990	4	7	0	1	12	115	10.4
1991	4	8	1	1	14	114	12.3
1992	5	8	2	1	16	122	13.1
1993	8	7	0	1	16	122	13.1
1994	7	7	1	2	17	124	13.8
1995	7	9	2	1	19	120	15.8
1996	10	11	3	0	24	120	20
1997	9	12	4	0	25	127	19.7

LIBRARIAN STAFF

RACE / YEAR	Asian	African American	Hispanic	Native American	Total Minorities	Total Staff	% of Total Staff
1985	12	3	0	0	15	115	13
1986	15	4	0	0	19	102	19
1987	14	4	0	0	18	95	18.9
1988	14	6	1	0	21	105	20
1989	13	8	2	0	23	109	21.1
1990	13	7	2	0	22	101	21.8
1991	14	9	2	0	25	105	23.8
1992	11	11	1	0	23	106	21.7
1993	11	9	0	0	20	102	19.6
1994	13	10	0	0	23	107	21.5
1995	14	6	1	0	21	108	19.4
1996	13	6	2	0	21	115	18.3
1997	14	6	2	0	22	111	19.8

Statistics were sampled in the Spring of each year (February-April) 1985-1997.

I

POLICY STATEMENT ON EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION FOR EMPLOYEES AND STUDENTS

The University of New Mexico recognizes its responsibility to extend equal employment and educational opportunities to all qualified individuals. This University exists to educate, to conduct research and creative activities, and to perform related services on behalf of the community which supports it. We at the University of New Mexico have a responsibility to our students and to the citizens of the state to actively recruit and hire the best qualified persons we can, and to do so in the context of our commitment to affirmative action principles and diversity.

The University complies with the letter and spirit of the law, and further believes that everyone in the work force of the University of New Mexico is involved in educating others. That education may range from transmitting knowledge of complex concepts (as is done by the faculty) to serving as role models in the subtleties of everyday human interaction, as all employees do. Any practice which negatively affects some of our work force ultimately affects us all. There is no place for prejudice and injustice.

On December 13th, 1994, the Regents passed a "Resolution on Campus Climate," which reaffirms the University's commitment to creating and maintaining a diverse community and a campus in which students, faculty and staff can learn and work in an atmosphere that is productive and free from harassment, exploitation, intimidation, hate crimes, discrimination and retaliation. These statements are echoed in the University's UNM 2000 vision statement.

Equal Employment Opportunity

University policy, state and federal law and regulations forbid unlawful discrimination on the basis of race, color, religion, national origin, physical or mental disability, age, sex, sexual preference, ancestry, or medical condition, in recruiting, hiring, training, promoting, and all other terms and conditions of employment. All personnel policies, such as compensation, benefits, transfers, layoffs, terminations, returns from layoff, University-sponsored training, education, tuition assistance, social, and recreation programs will be administered without regard to the characteristics or conditions listed above, except when one of these is a bona fide occupational qualification. The University strives to establish procedures which assure equal treatment and access to all programs, facilities and services.

Equal Educational Opportunity

The University of New Mexico is committed to providing equal educational opportunity and forbids unlawful discrimination on the basis of race, color, religion, national origin, physical or mental disability, age, sex, sexual preference, ancestry, or medical condition. Equal educational opportunity includes: admission, recruitment, extracurricular programs and activities, housing, facilities, access to course offerings, counseling and testing, financial assistance, employment, health and insurance services and athletics. In keeping with this policy of equal educational opportunity, the University is committed to creating and maintaining an atmosphere free from all forms of harassment.

Affirmative Action

Further, the University of New Mexico commits itself to a program of affirmative action to increase access by, and participation of, traditionally underrepresented groups in the University's education programs and work force. It is the policy of the University in the case where a vacant position falls within a job group which is determined to have underutilization, that the hiring official give preference for selection to a finalist who is a member of the underutilized group, provided his/her qualifications and past performance are substantially equal to other finalists.

Reasonable Accommodation Policy

The University makes reasonable accommodations to the religious observances/national origin practices of a student, an employee or prospective employee, and to the known physical or mental limitations of a qualified student, employee, applicant or program user with a disability, unless such accommodations have the end result of fundamentally altering a program or service or placing an undue hardship on the operation of the University. Qualified students, employees or program users with disabilities should contact the Office of Equal Opportunity Programs or the Office of Disabled Student Services for information regarding accommodations.

Anti-Harassment Policy

It is the policy of the institution to prevent and eliminate forms of unlawful harassment in employment and educational settings. The University prohibits harassment of employees by supervisors or co-workers and harassment of students on the basis of race, color, religion, national origin, physical or mental disability, age, sex, sexual preference, ancestry, medical condition, or other protected status. The University makes special efforts to eliminate both overt and subtle forms of sexual harassment.

Complaint Procedures

Complaint procedures are in place for resolving allegations of discriminatory treatment or sexual harassment against either employees or students. Copies or summaries of procedures are included in the Faculty Handbook, the Pathfinder, the University Business Policies and Procedures Manual, via posters and union contracts, as well as other University publications. Notice of fair employment rights and

procedures are posted at the various human resource offices as well as in employing units. Employees may contact the Office of Equal Opportunity for information and/or assistance.

Responsibility for Affirmative Action Plan

The University President has overall responsibility for the Affirmative Action Plan. All senior and mid-level administrators (vice presidents, deans, directors) are accountable for their performance in the accomplishment of affirmative action objectives. Annual performance evaluations shall include an assessment of the results of programs and practices aimed at increasing access and participation by persons in protected classes.

The Office of Equal Opportunity Director has been designated as Affirmative Action Coordinator. This official is responsible for monitoring all EEO/AA activities, reporting quarterly and annually on the effectiveness of the Affirmative Action Plan, and developing recommendations for necessary action to assure attainment of its stated objectives. Any questions related to the Affirmative Action Plan should be directed to the Office of Equal Opportunity.

Richard E. Peck — 1/22/97

President Richard E. Peck — **Date**

The Ohio State University Libraries
Affirmative Action Plan
1993/1996

Introduction

Affirmative action was initiated at Ohio State University in 1971 as a result of Executive Order 11246. Until 1986, the University Libraries (excluding the Health Sciences and Law libraries) concerned itself principally with compliance with federal guidelines. Since then, the Libraries has launched several initiatives to recruit and retain qualified faculty and staff from underrepresented minority groups. (Attachment 1)

Although the Libraries has generally reflected a reasonable distribution of minority faculty and staff, its recruitment efforts should be aimed toward higher goals. The following is an analysis of the present profile of The Ohio State University Libraries' work force contrasted with its 1988 profile, an analysis of the relevant availability pools, and some suggested strategies for tapping those pools. The Libraries' goals continue to focus on being an organization that reflects the racial and ethnic makeup of the student population it serves and the adult population from which it recruits.

Comparison of 1988 and 1992 Work Force

The raw data comparing the 1988 and 1992 work force shows a decline of 16% or 48 fewer filled positions in the Libraries in 1992. However, those numbers are somewhat skewed because the 1988 figures include graduate administrative associates, who are not represented in the October, 1992 data. Furthermore, some vacancies occurring since 1988 were not filled because the associated salaries were used to meet budget reductions, and others remain unfilled in anticipation of further reductions. For these reasons, percentages of minority representation are a more useful measure. There have been some affirmative action gains during the last three years. Although the percentage of women in the Libraries has declined 4.4%, a vacancy in administration was filled by a woman, for a total of three women in the five administrative positions. The 1988 goal of increasing the number of African-American faculty to seven was met. Indeed, African-American females made gains in the classified staff ranks, reflecting both hires and promotion to higher positions. However, the total percentage of minority faculty and staff remained constant. Of particular concern is the decline in the number of African-American males in the work force. The complete report appears in Attachment 2.

The Libraries was able to hire its first Minority Librarian Intern after the completion of that internship. The candidate pool for the next intern was so strong that the Office of Academic Affairs matched the Libraries' support so that two interns could complete the program. One intern had planned from the outset to return to Puerto Rico and the other took a position in another state because The OSU Libraries did not have a suitable opening. Both have accepted positions in academic libraries. The third intern cycle begins in fall 1993 with an African-American male. Unfortunately, the Office of Academic Affairs was unable to renew its support for a second intern position. The applicant pool each time has grown numerically and in quality. The internship is widely recognized and sought since it is one of very few in the country that is a comprehensive program rather than a visiting position in one library area. We also hired the first OSU-Kent State minority fellowship recipient upon her graduation. (See Attachment 1 for description of the Libraries' affirmative action enhancement programs.)

1988 292 Employees

Total Female	Total Min.	Afr-Amer. I	Afr-Amer. M	Afr-Amer. F	Other Min. I	Other Min. M	Other Min. F	White I	White M	White F
208	47	29	19	10	18	5	13	245	74	171
71.2%	16%	9.9%	6.5%	3.4%	6.2%	1.7%	4.4%	83.9%	25.3%	58.6%

1992 244 Employees

Total Female	Total Min.	Afr-Amer. I	Afr-Amer. M	Afr-Amer. F	Other Min. I	Other Min. M	Other Min. F	White I	White M	White F
163	40	27	3	24	13	3	10	204	76	129
66.8%	16.4%	11.1%	1.2%	9.8%	5.3%	1.2%	4.1%	83.6%	30.7%	52.8%

FACULTY AND ADMINISTRATORS

Present Profile

As of October, 1992, University Libraries' faculty (EEO code 02) and administrators (EEO code 01) (excluding the Health Sciences and Law Libraries) include 89 individuals, of whom 7 (7.9%) are African-Americans, 6 (6.7%) other minorities, and 76 (85.4%) white. Fifty-five (61.8%) are female and 34 (38.2%) are male. This distribution compares well with the national profile although women are slightly under-represented by 3.2% in The OSU Libraries, a fact balanced by a stronger representation of both African-American and Asian women than the national profile. Yet, other than two Hispanic males, one of whom has already left the university, there are no other minority males in the faculty and administrative ranks.

Distribution of Librarians by Racial/Ethnic/Sexual Group
In Academic Libraries, 1991[1]

		U. S. Profile		OSU Profile[2]	
		Number	Percent	Number	Percent
Native American	F	39	0.40	0	0.0
	M	23	0.23	0	0.0
	T	62	0.63	0	0.0
Asian	F	331	3.38	4	4.5
	M	154	1.57	0	0.0
	T	485	4.95	4	4.5
African-American	F	368	3.75	7	7.9
	M	118	1.20	0	0
	T	486	4.96	7	7.9
Hispanic	F	99	1.01	0	0.0
	M	51	0.52	2	2.2
	T	150	1.53	2	2.2
White	F	5537	56.49	44	49.4
	M	3081	31.44	32	35.9
	T	8618	87.93	76	85.4
Total	F	6372	65.01	55	61.8
	M	3427	34.17	34	38.2
	T	9801	100.00	89	100.0

An examination of the Libraries' peer institutions, the member libraries of the Association of Research Libraries (ARL) in the aggregate and regionally, reveals that the Libraries compares favorably except for Asians,

who comprise 5.5% in the East North Central region and 4.9% in all ARL libraries[3] vs. 4.5% in The Ohio State University Libraries.

	ARL Libraries		ARL Libraries in E. North Central		OSU Libraries	
Total	8212		1112		89	
African-Amer.	272	3.3%	53	4.8%	7	7.9%
Hispanic	120	1.5%	18	1.6%	2	2.3%
Asian	400	4.9%	61	5.5%	4	4.5%
Native Amer.	10	0.001%	1	0.001%	0	0.0%

Projected Vacancies

Compared with other disciplines, librarianship traditionally experiences considerable turnover. Rather than advancing through the professorial ranks at one institution, librarians typically move up the administrative ranks by accepting positions at other libraries. However, the economic climate throughout the nation, coupled with the reduction in staff positions at The Ohio State University Libraries, has created a climate of less opportunity to move. Whereas in 1988 the Libraries experienced an annual 10 percent turnover rate, that percentage has shrunk to an average of six percent or approximately five positions a year for the last four years.

Availability Pool

All library faculty searches are conducted nationally and a few internationally. Therefore, the pool is potentially all librarians in the United States as well as new graduates. In 1989/90, 3686 people were awarded Master's degrees in library science[4] and the American Library Association reports the following profile for practicing academic librarians: 4.96% African-American, 1.53% Hispanics, .63% American Indian, 4.95% Asian/Pacific Islander, 87.93% white, 65.01% female, and 34.17% male.[5]

The Ohio State University Libraries compares favorably with other academic libraries and remains competitive nationally.

Present Profiles

	OSUL	U.S. Libraries	Academic Libraries
African-American	7.9%	6.28%	4.96%
Other Minorities	6.8%	6.05%	7.11%
White	85.4%	87.67%	87.93%
Female	61.8%	73.15%	65.01%
Male	38.2%	26.85%	34.17%

However, if the number and composition of people completing graduate degrees in library science remain constant for the next few years, the percentage of minorities will decline every year.[6] Furthermore, the fact that there are almost twice as many African-American librarians in public libraries as are in academic libraries makes recruitment for academic libraries even more difficult. The recent closing of a number of library schools in the country may well have an adverse impact on the composition of people entering the field.

The OSU Libraries has very few entry-level positions. Most of the vacancies which will occur over the next few years will require new hires who possess varying levels of previous library experience. The Libraries does make every effort to employ those who complete our minority intern librarian program and those minority

graduates from the Kent State program under the aegis of the Libraries' affirmative action enhancement programs. (See Attachment 1 for details.)

Goals for 1993/94 Through 1995/96

The Libraries' goal continues to be a profile which reflects the minority population of the nation, despite the fact that candidates do not exist in the same proportion. The chart below tracks the employment profile since 1988 with the national profile of the general adult population of the United States from the 1990 census' and the Libraries' goals for 1995/96. Those goals assume a no growth environment for the Libraries, or 89 faculty positions.

	1988 Actual	1988 Goals for 1992	1992 Actual		Nat'l Profile		Goals for 95/96	
			%	No. Pos.	%	No. Pos.	%	No. Pos.
Afr-Amer.	5.6%	7.2%	7.9%	7	10.7%	10	11.2%	10
Other Min.	7.9%	7.1%	6.7%	6	11.1%	10	10.1%	9
Whites	86.5%	85.7%	85.4%	76	78.2%	70	78.7%	70

The three-year plan is to maintain the present profile overall and to hire three additional African-American librarians, one male and two females, and to increase the other minority representation by three. As both a mirror of the nation and the university, it seems appropriate for the Libraries to move from general recruiting goals to targeting specific positions as best filled by minority librarians. For example, both the Undergraduate and Science and Engineering libraries should reflect the diversity of the student populations they serve. However, vacancies may well not occur in the near-term future in either of these libraries. When vacancies do occur, however, the Libraries should try to hire a minority librarian. Nationally, one measure of successful affirmative action for libraries is achieved when minority librarians are working in general or subject disciplines not based on racial or ethnic backgrounds or language facility. We have met this goal with our present African-Americans but need to reach that level of integration for other minorities.

CLASSIFIED CIVIL SERVICE AND PROFESSIONAL EMPLOYEES

Present Profile

As of October, 1992, the Libraries (excluding the Health Sciences and Law Libraries) employed 146 classified civil service staff, of whom 18 (12.3%) were African-American, 7 (4.8%) were other minorities, and 121 (82.9%) white. One hundred and three (70.5%) were women and 43 (29.5%) men.

The University Libraries' civil service staff members are divided between the clerical/secretarial group (EEO code 04) and the technical/paraprofessional group (EEO 05). Attaining a position in the latter group generally requires experience in a position in the former. Clerical/secretarial includes 13 (11.4%) African-Americans, 7 (6.1%) other minorities, and 80 (70.2%) women, while technical/paraprofessional includes 5 (15.6%) African-Americans, 0 other minorities, and 23 (71.9%) women. A comparison of the two groups suggests that although African-Americans have been promoted to the higher ranking positions, other minorities are not represented in EEO code 05 positions. As is true with faculty, the "other minority" category includes more Asians than Hispanics, who are underrepresented in classified civil service ranks also.

Projected Vacancies

Over the past four years, the Libraries has experienced an average of 17 vacancies per year (down from 26 in the 1988 plan) in EEO categories 04 and 05. This downward trend is expected to continue, or worsen, depending on any further reduction in staff positions. Both these categories experience an 11-12% turnover annually, often the same positions. The professional-nonfaculty (EEO code 03) reflects long term career commitment, so there is virtually no turnover.

Availability Pool

The Libraries' civil service employees are recruited exclusively from the local labor market. Typical qualifications of those hired at the entry-level rank of Library Assistant include a high school diploma plus some previous library experience, or some college education but no library experience. The available labor pool is calculated to be the mean of the number of Columbus residents with a high school diploma and the number with some college education.[8] The profile for this group is 11% African-American, 1.6% other minorities, and 87.4% white. Women comprise 49.2% and men 50.8%. These figures reflect a decline in the percentage of African-Americans, other minorities, and women in the pool since 1988, whereas the percentage of whites increased 5%.

The professional nonfaculty (EEO code 03) group is a heterogeneous mixture, including positions as diverse as the Main Library's coordinator for building facilities and the Assistant University Archivist. There remains no logical way to develop availability pool data for such a disparate group, some of whom are recruited nationally and others only locally. Therefore, the profile for the available pool for this group is a reasonable compromise between the national librarian pool and the local civil service pool.

Comparison of Present Profile With Availability Pool, by Percentage

	Civil Service Staff	Avail. Pool	Professional Staff	Avail. Pool
African-Americans	12.3%	11.0%	25.0%	9.3%
Hispanics	0.7%	0.6%	0.0%	0.5%
Native Americans	1.4%	0.2%	0.0%	0.3%
Asian Pacifics/Others	2.7%	0.8%	0.0%	1.7%
Whites	82.9%	87.4%	75.0%	87.8%
Males	29.5%	50.8%	37.5%	46.1%
Females	70.5%	49.2%	62.5%	53.9%

Goals for 1993/94 Through 1995/96

Since only one or two vacancies in the A&P staff (EEO 03) are anticipated in the foreseeable future, the Libraries' goals will focus on the civil service staff (EEO 04 and EEO 05). The following chart shows the employment profile of these two groups since 1988 with the profile of the general adult population of Columbus[9] and the Libraries' goals for 1995/96. These goals assume a no-growth environment for the Libraries of 146 civil service positions.

	1988 Actual	1988 Goals for 1992	1992 Actual %	1992 Actual No. Pos.	Nat'l Profile %	Nat'l Profile No. Pos.	Goals for 95/96 %	Goals for 95/96 No. Pos.
Afr-Amer.	11.4%	14.2%	12.3%	18	9.9%	15	15.8%	23
Other Min.	4.3%	4.7%	4.8%	7	2.2%	3	7.5%	11
Whites	84.2%	81.1%	82.9%	121	87.7%	128	76.7%	112

The long-term goal for support staff (primarily EEO codes 04 and 05), as for faculty, is to reflect the composition of the area from which the work force comes, in this instance, Columbus. However, the Libraries has surpassed that level in terms of African-Americans and other minorities. Therefore, the goal for the Libraries is to maintain the gains that have been made and, despite the statistical profile, to increase the number of minorities in those categories. That goal extends to ensuring that the distribution of minority support staff should reflect the minority population of users.

Because recruitment is virtually impossible under the current civil service regulations and University procedures whereby most vacancies are filled internally and outside applicants are referred to the Libraries according to a rigidly prescribed set of procedures, greater effort will be placed on upgrading/hiring minorities for positions in the EEO 05 category with the expectation of adding four minorities.

Recruitment Strategies

It should be noted at the outset that librarianship as a profession is not perceived as financially attractive or of high status, as is true of many other service professions, particularly those which are predominantly female. The image of librarianship as well as its perceived status contributes to the difficulty in recruiting the best and the brightest to the field. The motivations for entering the profession of librarianship are, therefore, frequently altruistic.

Surveys indicate[10] that one-on-one personal contacts and the hiring and presence of minority librarians in libraries are more effective approaches to recruitment than the more formal and rather passive methods which are the norm.

Although available data indicate that the numbers of minorities graduating from accredited programs in library science are increasing,[11] their representation as a percentage of the profession has remained static and small relative to their representation in both the general population and among college graduates. An added difficulty for academic libraries is that the vast majority of minority librarians choose to work in public rather than academic libraries.

Despite these difficulties we believe that more can and must be done to increase minority representation within the profession at large and in academic libraries and Ohio State in particular. Professional associations and schools of library science need to do more to assist in these recruitment efforts by focusing attention on improving the image of the profession; disseminating information on the profession to elementary, high school and college students; and by providing more scholarships and fellowships to those wishing to enter the field.

Specific efforts we will make in recruitment of minorities are:

- increasing involvement of our own minority librarians in the recruitment process
- pursuing more direct contact with members of professional associations of minority librarians, e.g., the Black Caucus of the American Library Association, Reforma (National Association to Promote Library Service to the Spanish Speaking), and the Asian/Pacific-American Librarians Association
- sending position announcements to public libraries in metropolitan areas with significant minority populations
- screening position descriptions carefully to remove qualifications not essential to the job, e.g., previous experience in an academic or research library
- continuing the joint OSU Graduate School-Kent State School of Library and Information Science minority fellowship and developing an early relationship with the recipient to foster an awareness of and potential interest in academic librarianship and Ohio State
- continuing the fellowship which provides a tuition waiver from Kent State University for an OSU minority staff member to seek a graduate degree in library science and encouraging that individual to consider academic librarianship

- working with the Kent State School of Library and Information Science to encourage and develop more practicum opportunities at Ohio State for minority library science students

- seeking funding for a second Minority Librarian Intern

- contacting applicants not selected for the minority internship when other positions become available.

Recruitment strategies for civil service and professional staff parallel those for faculty recruitment. Outreach efforts must be made to interest middle and high school students in choosing careers as paraprofessionals. Church groups, sororities and fraternities, ethnically-based civic associations or other groups which sponsor career counseling, as well as teachers or school librarians, will be used to reach the local community. Present members of the library staff can assist in this effort.

Minorities enrolled in local undergraduate library courses or AA degree programs in library technology (offered at Ohio Dominican, Lakeland Community College, and Ohio University at Lancaster) can be encouraged to become library paraprofessionals, if they are not interested in pursuing a graduate library degree.

Student assistants in the OSU Libraries are well trained and familiar with local systems and policies and many inquire about a classified position upon their graduation. However, student employees do not qualify as internal applicants for available positions. In addition, current civil service regulations, rather than supporting affirmative action, seem to be a barrier to recruitment. Many vacancies are filled internally and only rarely is a vacancy open to applicants not already employed at the university. Minority candidates are rarely referred to the Libraries and many individuals who are, do not seem qualified. Therefore, the Libraries' staff cannot in good conscience "recruit" minorities to apply to the university for library positions since those recruited are rarely referred to the Libraries. However, the Libraries' Personnel Office is able to recruit and screen applicants for positions in the professional-nonfaculty group.

Retention Strategies

As previously mentioned, academic librarianship is a field in which advancing administratively often means relocating to another institution. However, the University Libraries can employ greater effort to ensure a more hospitable environment in order to retain all faculty and civil service staff members, including minorities. Those increased efforts will include:

- organizing efforts to provide support and assistance to new and junior faculty, including our minority library faculty, by providing informal contact with members of the Libraries' Promotion and Tenure Committee and the Advisory Committee on Research during the first year of their appointment

- establishing a mentoring program for new faculty to assist them in establishing research and publication and service profiles which are focused and progressing at a reasonable pace toward tenure

- integrating affirmative action principles more fully into the culture of the Libraries so that Affirmative Action is viewed as everyone's responsibility, not just that of special committees and task forces

- providing continuing education opportunities and financial support, as feasible, for all staff and encouraging them to avail themselves of such opportunities

- encouraging minority staff members to consider applying for higher level positions and ensuring training and experience for them so they are well positioned for advancement

- encouraging individuals, if at all possible, to take advantage of the university's policy on flexible appointments and scheduling to meet educational or personal needs

- involving all staff in various committee activities within the Libraries so they can better understand the entire organization, its priorities and issues, and the individuals within the Libraries

- working with Human Resources to ensure that qualified applicants, especially minorities, are referred to the Libraries and that recruitment activities outside the University can succeed.

Pool Development

The Libraries remain committed to supporting the pool generation strategies developed since 1988. The Minority Librarian Intern program is currently in its third "class," with one of the interns electing to accept a position with the Libraries upon completion of her internship. The first graduate of the joint OSU Graduate School-Kent State minority fellowship has also accepted a position in the Libraries. The first minority staff member earning a graduate degree in librarianship from the Kent State School of Library and Information Scinece is about to graduate, and a second staff member has begun the program.

Some specific strategies for pool generation include:

- participating in career fairs held at OSU and elsewhere in the city to interest minority students in careers in librarianship, especially academic librarianship

- supporting programs in which elementary or high school students follow a career professional for a day to understand better what the profession entails

- hiring minority students and encouraging those who show interest and aptitude to consider librarianship as a career

- encouraging the Private Industry Council students who work each summer in the Libraries and who show interest to consider a library career

- working with Human Resources to develop a policy to permit student assistants to be considered as internal candidates for regular Civil Service library positions, since they are trained and familiar with the library system

- strengthening the relationship between the Libraries and the Office of Human Resources so those making referrals understand better the experience and aptitude needed for employment in the Libraries so that qualified minority candidates can be referred to the Libraries

- cooperating with faculty of the Kent State School of Library and Information Science to encourage minority students to undertake a practicum in the Libraries.

Climate

A truly diverse organization hinges on having a critical mass of minority staff and faculty members in mainstream positions so that they view themselves and others view them as individuals, not members of a minority. Open communication and ongoing efforts to know colleagues better are key to the success of any organization. All activities contributing to retention create a positive climate. As a large and decentralized library system, the Libraries must strive to ensure good communication. Some suggested strategies for developing and maintaining a positive climate are:

- ensuring that student assistants reflect the diverse composition of the campus
- continuing diversity education programs for all faculty and staff
- supporting formal communication channels within the Libraries and involving all faculty and staff in committees and task forces
- creating more social occasions so employees have the opportunity to interact with people outside their own unit
- holding public receptions for longevity and service awards
- instituting an annual retreat for all faculty and staff to reflect on the state of the Libraries with scheduled time for social interaction
- encouraging large library units serving a diverse clientele to hire minorities to mirror those users
- ensuring that all staff and faculty can take advantage of continuing education and other training opportunities.

1. Academic and Public Librarians: Data by Race, Ethnicity & Sex, 1991. American Library Association, Office for Library Personnel Resources, Chicago, 1991. Table 3. Figures shown are taken directly from the published report and do not total 9801.

2. Based on October 31, 1992 data of filled positions.

3. ARL Annual Salary Survey 1992. Association of Research Libraries, Washington, D.C., 1992.

4. Academic and Public Librarians: Data by Race, Ethnicity & Sex, 1991. American Library Association, Office for Library Personnel Resources, Chicago, 1991. Table 7.

5. Ibid. Table 3.

6. See Form 2 of this report.

7. Census of Population and Housing, 1990: Equal Employment Opportunity File (EEO) [CD-ROM]/prepared by the Bureau of the Census, Washington, D.C., 1993.

8. Ibid.

9. Ibid.

10. Academic and Public Librarians: Data by Race, Ethnicity, & Sex, 1986. American Library Association, Office of Library Personnel Resources, Chicago, 1986, p. 26 and "Minority Recruitment and Retention in ARL Libraries," SPEC Flyer #167. Association of Research Libraries, Office of Management Services, Washington, D.C., 1990.

11. Timothy W. Sineath, ed. Library and Information Science Education Statistical Report, 1986. Association for Library and Information Science Education, State College, PA, 1987, p. 107; and
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TO: Virginia M. Trethewey

FROM: William J. Studer, Director

DATE: September 26, 1996

RE: Review of University Libraries' Affirmative Action Programs

As we examine each program, we need to correct some misinformation which appeared on the charts appended to your memo to the Vice Presidents and Deans dated August 1, 1996, as well as discuss the questions posed to guide our review. The Libraries wholeheartedly support the University's mission statement on diversity and its commitment to aggressive pursuit of such diversity among faculty, staff, and students--all principles embraced by the CIC as well as The Ohio State University. We are strongly committed to the Libraries' internship and fellowship programs that contribute to both the University's and our professional pluralism. That commitment is shared by the Kent State School of Library and Information Science, which has partnered with University Libraries in providing tuition waivers for the two fellowship programs. As a service provider to the campus community, the Libraries should reflect and contribute to the diversity of the campus population. Observational evidence indicates that members of the campus community respond more favorably to a known person or to one perceived to be from a similar background. The availability of positive role models for students should not be overlooked as the University considers its commitment to diversity in the context of the educational experience.

We have reviewed the Libraries' three Affirmative Action programs, and the following discussion redefines the programs in light of the issues presented in the August 1, memorandum.

DIVERSITY INTERNSHIP (formerly Minority Internship)

The program is designed to assist a recent library school graduate in making a successful transition to academic research librarianship. Ohio State, one of the nation's largest academic research library systems, has the resources and commitment to introduce and orient a recent graduate to the complexities of librarianship in a highly complex environment. The two-year internship provides the opportunity for hands-on experience in most areas of the University Libraries' operations, including the workings of public and technical services as well as administration. The first year includes an introduction/orientation to the

various departments and operations, while the second year of the internship emphasizes one or more areas of special interest to the Intern. The Ohio State University Libraries has a strong commitment to Affirmative Action and actively seeks to increase representation of diverse groups in all areas of the University. The University Libraries' Diversity Internship is one component of the Libraries' overall Affirmative Action Plan and is intended to increase diversity within the profession.

Qualifications:

The focus of the program is to increase the diversity of the faculty within University Libraries. Recent M.L.S. from an ALA-accredited program; interest in and potential for a career in academic research librarianship; above average academic performance; demonstrated leadership ability; character; talent; and creativity.

Diversity:

The criteria for the Internship are consistent with those for entry-level positions. The program provides breadth in all facets of academic librarianship as well as depth in the area(s) of specialization to enable the intern to assume a role of leadership within the profession more quickly. A diverse workforce contributes to a stronger organization and more closely mirrors the diverse users of the library.

Alternatives:

National searches for entry-level positions have not identified a diverse pool of applicants, despite concerted targeting of advertising toward specific minority groups. Therefore, it does seem incumbent upon us to provide programs that recruit diverse groups to the field of academic librarianship.

Manner in which race, national origin, or gender is used:

Race / national origin is only one of several criteria evaluated for selection to the program. The internship would not be offered to a candidate who did not contribute to our goal of increased diversity.

Continued need:

The program has been in existence since 1989, and experience has shown that the interns have moved into more responsible positions more quickly and commanded higher salaries than other librarians only two years beyond the M.L.S., a validation of the program' effectiveness at cultivating and preparing minority librarians for leadership positions and developing a pool of potential candidates for library faculty positions at Ohio State. The program is unique within the University as well as being a national model, and the number of qualified applicants increases each time the position is advertised, further validation of the benefit derived from the experience. The program is ongoing and the Libraries will establish a five-year review schedule to evaluate the program.

Beneficiaries:

The targeted beneficiaries of the internship are individuals who will increase the diversity of the library faculty, and the past interns have represented a spectrum of racial and ethnic backgrounds. The program enables the Libraries to develop a pool of potential applicants as vacancies occur.

Burden:

Funding for the internship comes from the Libraries' cash reserves without reduction in support for other programs. Persons not eligible for the internship may apply for vacant positions, and other experience may well compensate or outweigh that of the internship.

KENT STATE /OSU JOINT DIVERSITY FELLOWSHIP (formerly Joint Minority Fellowship)

In cooperation with University Libraries, the Kent State University School of Library and Information Science offers a full tuition waiver supplemented by a stipend of $9,600 to a qualified student affiliated with the OSU community. The fellowship supports one year (12 months) of full-time study toward a master of library and information science (M.L.S.) degree. The general expectation is that sponsored students will consider beginning their professional careers in the OSU Libraries if suitable positions are available.

Qualifications:

Interest in a career in library and information science, preferably with an emphasis in academic research librarianship; contributes to the diversity of the profession; OSU affiliation (faculty, staff, alumni), bachelor's degree; minimum cumulative grade point average of 3.0; ability to pursue the degree full-time with no other type of employment/appointment and be enrolled for three successive semesters, maintaining at least a 3.0 GPA per semester; character; creativity.

Diversity:

The criteria are consistent with those of other programs within the University and at Kent State University. The fellowship ensures diversity within the student body and increases diversity within the profession, especially within academic librarianship. Although the number of fellowship holders who have completed the program is small, one person who did earn the M.L.S. is now a member of the OSU Libraries' faculty; and both Kent State and the Libraries are committed to continuing the program.

Alternatives:

Again, national searches for entry-level positions have not identified a diverse pool of applicants, despite concerted targeting of advertising toward

specific minority groups. Therefore, it does seem incumbent upon us to provide programs that recruit minorities to the field of academic librarianship.

Manner in which race, national origin, or gender is used:

Race/ national origin is but one of the criteria for selection to the program. The fellowship would not be offered to a candidate who did not contribute to our goal of increased diversity.

Continued need:

Inaugurated in 1989, one fellow has completed the master's degree and is a member of the Libraries' faculty and a second has completed all the course work and is completing the required research project. Although the pool has not developed as originally conceived, both Kent State and OSU Libraries feel that the profession has been enriched by the fellows and are committed to the program. The program is ongoing, and the sponsoring parties will establish a five-year review cycle.

Beneficiaries:

Beneficiaries are under-represented minorities. However, to date all applicants for the fellowship have come from one racial group.

Burden:

Kent State offers a tuition waiver to the fellow, the OSU Graduate School provides a twelve-month stipend of $7,200 which the Libraries supplement with an additional $2,400 and text books. No other programs have been cut to accommodate this one. Other fellowships exist with similar benefits so those not eligible for this program have other financial support options.

KENT STATE/OSU DIVERSITY FELLOWSHIP FOR AN OSU STAFF MEMBER (formerly Minority Fellowship)

In cooperation with University Libraries, the Kent State University School of Library and Information Science offers a full tuition waiver to a current OSU staff member for part-time enrollment for three years. Available every three years, the fellowship attempts to increase diversity within the profession and especially in a career in academic research librarianship.

Qualifications:

Current staff employment at the Ohio State University; interest and potential for a successful career in library and information science, bachelor's degree with an above average grade point average; contributes to the diversity of the program; character, talent, and creativity.

Diversity:

The criteria are consistent with those of other programs within the University and at Kent State University. The fellowship ensures diversity within the student body and increases diversity within the profession. The first recipient of this fellowship now holds a faculty position with University Libraries.

Alternatives:

National searches for entry-level positions have not identified a diverse pool of applicants, despite concerted targeting of advertising toward specific minority groups. Therefore, it does seem incumbent upon us to provide programs that recruit minorities to the field of academic librarianship.

Manner in which race, national origin, or gender is used:

Race/ national origin is but one of the criteria for selection. The fellowship is targeted toward achieving diversity and would not be offered to a candidate who did not contribute to our goal of increased diversity.

Continued need:

To date, three OSU staff have been awarded this fellowship, which was established in 1989. One of those recipients left the University before completing the program, and one received her degree in 1994 and has been appointed to a library faculty position. Originally restricted to a University Libraries' staff member, the program has been expanded to include any OSU staff member. It is too soon to assess the success of the program, but the Libraries will establish a six-year review cycle.

Beneficiaries:

Under-represented minorities interested in librarianship and who do not wish or financially cannot become full time students are the beneficiaries of this fellowship. To date, the applicants have come exclusively from one minority, perhaps an indication that the program is of most benefit to this group.

Burden:

The Kent State School of Library and Information Science provides a tuition waiver for 36 credit hours over a three year period. Library staff who are recipients of the fellowship are granted paid released time for classes scheduled during work hours. Full tuition waivers are common means of financial support. Persons not eligible for this fellowship must seek other financial support and make up class time that occurs during work hours or pursue full-time enrollment.

AFFIRMATIVE ACTION/EQUAL EMPLOYMENT OPPORTUNITY GUIDELINES FOR RECRUITMENT AND SELECTION OF FACULTY

INTRODUCTION

University policy protects all employees and applicants for employment against discrimination on the basis of race, color, religion, national origin, ancestry, age, sex, sexual orientation, physical or mental disability, marital, military, or veteran's status[1]. In addition, EEO laws that apply to federal contractors require employers to make special efforts to hire and advance members of groups that historically have been targets of employment discrimination: minorities, women, the disabled, special disabled veterans, and veterans of the Vietnam era.

These guidelines have been designed to assist hiring authorities in conforming with University policy and EEO laws, orders, and regulations[2] when filling faculty vacancies.

MAJOR REQUIREMENTS

There are two major requirements when recruiting for faculty positions. One is a **broad search** that will result in a representative applicant pool. Such a pool is one in which minorities and women are found in substantially the same proportion as their availability in the recruitment area, which, for faculty, is national.[3] A candidate may not be preselected for any position.

The second requirement pertains to full- and part-time (50% or more) faculty positions, regardless of source of funding, where the appointment is for a period of nine months or longer. These positions require the **sign-off** of the completed Faculty Recruitment Summary Form (UPF-1F) by the appropriate unit head, i.e., Provost or Vice President. A job offer may not be made, verbally or in writing, until the sign-off has been received.

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[1] See page 30.18 of the Regulations and Procedures Manual.

[2] See Major Laws and Orders Governing Nondiscrimination in Employment, attachment 1.

[3] Availability figures for faculty by field and subfield are available from the Office of Affirmative Action & Employment Research.

RECRUITMENT

The Position Description

Each recruitment effort starts with a position description. A good description should accurately and clearly describe the full range of responsibilities, duties, and tasks. It should specifically outline the "essential functions" of the position. Essential functions are the major duties and responsibilities which are of such importance that if they were eliminated the position would no longer exist. The position description should be precise regarding the area(s) of specialty, teaching and research responsibilities, other duties, and special conditions of employment, if any. All qualifications must be job-related.

A carefully written position description is valuable in several ways. It can screen out at least some unqualified applicants, it can decrease subjectivity in matching candidate qualifications to position requirements, and it can support the hiring decision should a department be called upon to document its choice.

The Recruitment Process[4]

The requirements for a broad search that will result in a nondiscriminatory applicant pool can be met by combining the following approaches:

- All position announcements, both internal and external, and all classified advertising should be written in sexually neutral language and contain the tagline, "Rutgers is an equal opportunity/affirmative action employer."

- Classified advertising should reach a broad spectrum of potential applicants, as in scholarly and professional journals and/or general publications like The Chronicle of Higher Education, Academe, and The New York Times. Although women and members of minority groups who are searching for opportunities at the faculty level turn to the same national media as their white male colleagues, additional classified advertising placed in publications directed exclusively to these groups[5] indicates our commitment to actively recruit and hire from among these groups. However, the decision to do so is optional.

- If more than one position is listed in a single advertisement, each should be numbered or otherwise identified and applicants requested to specify the position for which they are applying. In this way, the appropriate applicant pool for each position can be identified for purposes of collecting accurate applicant flow data.

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[4] Also see section on Staffing Externally Funded Projects, page 9.

[5] See "Sources for Recruiting Minority and Women Faculty," prepared by and available from the Office of Affirmative Action and Employment Research.

- External announcement of the faculty vacancy to the following should be sent with a covering letter expressing an interest in receiving referrals that include women and members of minority groups and with a request to institutions to post the announcement:

  1. Key minority and female professionals in the field, both on and off the campus. Through networking, these contacts can often generate applications from minority and female candidates.

  2. Recent minority and female degree recipients. Names and addresses of degree candidates and recent recipients are available from the Office of Affirmative Action and Employment Research or through the office of the Vice President or Provost.

  3. Graduate schools awarding degrees in the area of specialization. A representative pool of applicants will be developed only if the schools contacted graduate a substantial number of minority and female students.

  4. The employment service of the discipline's professional association. Whenever possible, at least one representative of the department or discipline should be available at national and regional professional meetings to conduct interviews.

  5. Sources appropriate to the position, selected from "Sources for Recruiting Minority and Women Faculty," prepared by and available from the Office of Affirmative Action and Employment Research.

If the department changes the rank/title or position description after announcement, the position must be reannounced because the new conditions may attract a different applicant pool.

The Search Committee

Whenever possible, the Search Committee should include representation of women and members of minority groups.

The Search Committee should be appraised, either by the Dean or Director, Department Chair, or Unit Affirmative Action Coordinator, if there is an underrepresentation of minorities and/or women in the unit/department in which the vacancy occurs. This information will guide the Committee in planning the recruitment effort.

A copy of the AA/EEO Guidelines for Recruitment and Selection of Faculty should be provided to each member of the Search Committee. Copies are available on request from the Unit Affirmative Action Coordinator or the Office of Affirmative Action & Employment Research.

The Search Committee shall receive applications for no less than six weeks after the first published vacancy notice. However, this period may be waived when vacancies develop late in the semester or when a late release of lines occurs (see Handling Special Situations, page 11).

INTERVIEWING

The Interview Process

The Search Committee should develop a list of clearly defined criteria - arrayed, if possible, in order of importance - against which applicants will be evaluated. These criteria, based on the position description, must relate to the essential functions of the position and be applied uniformly to all candidates.

If the strongest minority and female applicants have qualifications that fall slightly short of the qualifications of the strongest white male applicants, the Search Committee should schedule interviews whenever possible. An interview may reveal additional strengths not evident on paper and thus place a candidate in a competitive position.

If the applicant pool includes a member of a protected group who has particularly strong credentials, and if the recruitment budget is unable to support the cost of bringing this person to campus, the matter should be brought to the attention of the Provost or Vice President.

It is the responsibility of the Search Committee to make every effort to treat all candidates who are interviewed in an equal fashion.

- All should be seen by a reasonable and representative number of voting members of the department or discipline.

- All questions directed to applicants should be related to the position for which they have applied. No questions may be asked of women applicants that are not also directed to males. Questions concerning race, religion, national origin, ancestry, sex, sexual orientation, marital status, age, or disability can be asked only after the appointment is made and for administrative purposes only.[6]

- After each interview, the interviewers' evaluations should be put in writing and retained in departmental files with all other documents related to the search for a period of two years (see Recordkeeping, page 7).

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[6] See New Jersey Division on Civil Rights Guide on Pre-employment Inquiries, attachment 2.

Interviewing Qualified Individuals with Disabilities

An applicant is qualified for a position if he or she meets the skills, experience, education, and other job-related requirements and can perform the essential functions of the position, with or without a reasonable accommodation. An applicant is disabled if he or she:

1. Has a physical or mental impairment that substantially limits one or more major life activities; or

2. Has a record or history of impairment such as a history of heart disease or a record of misclassification, e.g., an individual who was misclassified as learning disabled; or

3. Is regarded as having such an impairment.

Whether or not an applicant self-identifies as disabled, questions such as the following may not be asked:

- Are you currently mentally or physically ill or disabled or do you have a history of such illness or disability.

- Do you have a history of absences due to illness or disability.

- Are you currently receiving treatment for drug or alcohol addiction or have you ever received such treatment.

- Have you ever been injured on the job, applied for Workers' Compensation, or received Workers' Compensation benefits.

If a qualified applicant has self-identified as disabled, the interview should be scheduled at an accessible site if requested. The interview should center on the position description and cover the essential functions of the position and the qualifications necessary to perform them. Questions asked of the disabled should be the same questions asked of all candidates. The focus should be on what has to be done, not on how it has been done in the past. Avoid questions regarding the nature and severity of the disability.

If an applicant has an obvious disability and does not request an accommodation, the Search Committee may not initiate the discussion. However, if the Search Committee believes the applicant would not be able to perform an essential function of the position and the applicant is the best qualified for the position, the Search Committee may request the applicant to describe or demonstrate how the function will be performed. If the candidate requests an accommodation for the demonstration, and the accommodation is reasonable, it should be made.

SELECTION

Under equal employment opportunity law, the employer is entitled to select the most qualified candidate. When two or more candidates are equally qualified for a position, priority should be given to the individual from a protected group (1) when the position is in a unit/department in which there is an underutilization of that protected group or (2) when one candidate is an individual with a disability, a special disabled veteran, or a veteran of the Vietnam era.

Whether or not the applicant has relatives employed by the University should not influence selection decisions. University policy on the employment of relatives[7] permits their permanent employment in the same or different units/departments as long as they meet requisite standards. However, no supervisor or administrative officer shall have immediate hiring authority over a relative or shall vote, make recommendations, or in any other way participate in deciding any matter which may directly affect the appointment, promotion, demotion, salary, or other status or interest of a relative.

Whether or not the applicant is a citizen should not influence the selection decision. The Immigration Reform and Control Act of 1986 prohibits discrimination on the basis of citizenship status. The law permits employers to prefer a citizen over a noncitizen if both are equally qualified, but such citizen preferences may still violate Title VII if they have an adverse impact on persons of a particular national origin.

Whether or not the best qualified applicant requests an accommodation for a disability should not influence the selection decision, unless the accommodation would cause an "undue hardship."

ACCOMMODATIONS

Reasonable accommodations are modifications or adjustments, which can be made without undue hardship, to allow a qualified individual to enjoy equal employment opportunities. If an accommodation appears to cause undue hardship, that decision should be confirmed through the chain of command in your administrative unit.

Accommodating the Disabled

Individuals with disabilities themselves are often the best sources of ideas for cost-effective modifications. If an accommodation is requested by the most qualified applicant for a position and the accommodation is necessary and reasonable, the hiring authority is required to make the accommodation.

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[7] See page 30.19 of the Regulation and Procedures Manual.

In determining which accommodations are reasonable and which would constitute undue hardship, each case should be judged individually and the following factors considered:

1. Cost of the accommodation
2. Effect of the accommodation on employees and students
3. Effect of the accommodation on the conduct of educational programs and business affairs

Using these standards, examples of reasonable accommodations may be the construction of a ramp at a building entrance, the lowering of a public telephone, the rearrangement of files or shelves for accessibility to people in wheelchairs, providing telephone amplifiers for the hearing-impaired, or placing tactile labels on telephones for the vision-impaired. On the other hand, the installation of an elevator or the relocation of a large department most likely would constitute undue hardship.

Accommodations for Religion

Most religious bias problems involve accommodations of employees seeking to observe their Sabbath. An employer is required to make reasonable accommodations to an individual's religious observances and practices unless it causes undue hardship. Reasonable accommodations are (1) consistent with business necessity, (2) incur minimal costs, and (3) do not create major personnel problems.

During the interview, the hiring authority can clearly state the hours of work but may not inquire whether these hours are in conflict with the applicant's religious observances or practices. If, after the job offer is made and accepted, the new employee notifies you of a work-schedule conflict based on religion, you are obliged to seek an accommodation.

RECORDKEEPING

Federal law requires the unit/department to retain for a period of two years a complete record of the recruitment and selection process. For all announced vacancies at the University, this record includes recruitment sources, vitae, correspondence, evaluations of applicants interviewed, the pink copy of the Faculty Recruitment Summary Form (UPF-1F), copies of the Disabled/Covered Veteran Reporting Form (UPF-18) when appropriate, and all other materials that would be of assistance in documenting:

- that good-faith efforts were made to recruit a broadly representative applicant pool,

- that all applicants were treated fairly and equitably, and

- that the successful candidate was better qualified that those not selected.

Faculty Recruitment Summary Form (UPF-1F) and the Sign-off[8]

This form must be filed for all faculty appointments at or above the rank of Assistant Instructor, regardless of the source of funding, when the appointment is for a period of nine months or more at half (50%) time or more. This form is available from the Provost's or Vice President's Office, Unit Affirmative Action Coordinator, or the Office of Affirmative Action and Employment Research.

UPF-1F need not be completed and filed for:

- reappointments, including grant-funded faculty whose reappointment will be financed from another funding source
- teaching assistants and graduate assistants
- postdoctoral and other fellows
- visiting faculty
- coadjutant personnel
- faculty appointed to positions requiring less than half-time
- faculty appointed for one semester only
- faculty who are transferred, unless the positions were announced internally and/or externally

Attachments to UPF-1F are required under the following circumstances:

- When the hiring authority has departed from the AA/EEO Guidelines for Recruitment and Selection of Faculty, an explanation must be attached.

- When filling a vacancy in a unit/department with an underutilization of minorities and/or women, and the recommended candidate is not from an underutilized group, the vitae of the recommended candidate and of the two top-ranking applicants from each underutilized group must be attached.

- If there were special circumstances surrounding the recruitment process or related to the size or composition of the applicant pool, an explanation should be attached to expedite the review.

The completed UPF-1F, with appropriate attachments, must be signed in triplicate by the departmental hiring authority and Dean or Director and routed to the Provost or Vice President for the sign-off. The Provost or Vice President will contact the departmental hiring authority:

- to announce the sign-off and grant permission for an offer to be made, or
- to request additional information essential to the review, or
- to request that the search be extended because the recruitment procedure or applicant pool is deficient.

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[8] For complete instructions on the completion and filing of UPF-1F, see reverse side of form.

Disabled/Covered Veteran Reporting Form (UPF-18)[9]

If an applicant self-identifies as disabled, a special disabled veteran, or a veteran of the Vietnam era on the vitae, cover letter, or during the interview, the hiring authority must complete the Disabled/Covered Veteran Reporting Form (UPF-18). This form is available from your Unit Affirmative Action Coordinator, Personnel, or the Office of Affirmative Action and Employment Research. If the applicant is unsuccessful, the reasons must be explained and any accommodations discussed, if any, described. If an applicant with a disability is the successful applicant, any accommodations that will be made should be described. Copies of UPF-18 must be filed with the Personnel office on your campus and the Office of Affirmative Action and Employment Research before the vacancy is filled.

Employment Eligibility Verification Form (I-9)

The Immigration Reform and Control Act of 1986 requires employers to have a completed Employment Eligibility Verification Form (I-9) on file certifying an individual's identity and eligibility for U.S. employment. This form is available from Personnel.

All appointments are subject to the candidate's presentation of proper documentation as required by law. A list of acceptable documents can be found on the I-9 form.

To implement the requirements of the law without risking charges of discrimination:

- Carry out verification procedures uniformly for everyone, not just for "foreign-looking" applicants or employees.
- Do not reject applicants simply because they do not look or sound like U.S. citizens.
- Verify documents only after a job offer is made.
- Do not state a preference as to the documents required to verify an employee's identification and work authorization.

STAFFING EXTERNALLY FUNDED PROJECTS

In addition to these guidelines, the following apply to the special circumstances which often relate to recruitment for and transfer from grant-funded faculty positions.

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[9] For complete instructions on the completion and filing of UPF-18, see reverse side of form.

AA/EEO Guidelines for Recruitment and Selection of Faculty

Recruitment

In order to facilitate the prompt initiation of work on an externally-funded project, the broad search for personnel may be undertaken before funds are approved. Classified advertisements and announcements should include the stipulation that the position is available "contingent on receipt of grant funds."

Money to cover classified advertising should be written into the grant proposal. An explanatory note should state that this money will be used, with an auditable record kept, to conduct a broad search in line with obligations imposed on federal contractors by Presidential Executive Order No. 11246, as amended.

If the grant agency requires that the proposal name the principal investigator/program director, and this position will be held by someone other than the author, the requirement should be fulfilled by spelling out the qualifications and describing the academic profile of the type of person who will be recruited for that position. This meets the University's obligations to the granting agency while adhering to the prohibition against preselecting a candidate without conducting a broad search. Under no circumstances may the grant agency designate the principal investigator/program director.

When a grant proposal is written by a full-time member of the faculty, the writer may be named in the proposal as principal investigator/program director, and a search need not be conducted for that position. However, there must be broad recruitment for all other positions funded by the grant.

If employment on a grant-funded project will strengthen the research training of graduate students and provide financial support for their education, recruitment for specific positions may be limited to the relevant student community with the expectation that the applicant pool will be representative of the racial, ethnic, and sex composition of that community.

Transfer

Upon expiration of the grant funds that provide the salary of a regular University employee occupying a faculty position, that employee may be placed on another externally-funded line within the same unit, on the same or different project, without recourse to a recruitment effort, providing that:

- the employee's work performance, evaluated by an appropriate supervisor, is found to be satisfactory,
- the employee is fully qualified for the new position,
- a full search had been conducted when the employee was originally hired, and
- no more than three months has elapsed since the employee went off the University payroll.

If an employee is moved from one externally-funded position to another within the same unit without interruption in employment, the change should be considered a reappointment or a change in distribution of funds and completion of the Faculty Recruitment Summary Form (UPF-1F) is unnecessary. If there has been an interruption of employment, UPF-1F must be completed, a written explanation attached, and the sign-off received before an offer is made.

When a University-funded faculty line becomes available, it is expected that a national search will be conducted and that interested University employees will compete for the vacancy with external candidates. Under limited circumstances, however, it may be possible to waive the search in order to appoint a highly qualified internal candidate in the same unit with several years of continuous University employment in a grant-funded position. Among the several factors that will be considered in granting this exception is documentation that a full search had been conducted when the employee was originally hired and certainty that the candidate is agreeable to the starting salary. Requests for such waivers should be made to the Provost or Vice President.

HANDLING SPECIAL SITUATIONS

Should a vacancy occur as a result of a last-minute resignation or other emergency, or should there be a late release of lines from the Provost's or Vice President's office, a temporary one-year appointment may be made. It is expected that the letter and spirit of equal opportunity law will be observed in the informal procedures used to fill the emergency vacancy. Appointees should be advised in writing of the temporary nature of their appointments and of the extensive search that will be undertaken to permanently fill the position. The Faculty Recruitment Summary Form (UPF-1F) should be completed and filed as prescribed, with a written explanation of the emergency attached to all copies. Reappointment may not occur to positions filled on an emergency basis and temporary appointees must be given appropriate and timely notice of nonreappointment. When temporary appointees apply for the same positions after they are announced according to affirmative action procedures, they should be evaluated against the same job-related criteria applied to all other candidates.

Should a faculty member be granted leave and a replacement appointed, and should the permanently appointed faculty member then resign before returning from leave, these guidelines must be followed. The replacement may be a candidate for the permanent position and should be evaluated according to the same job-related criteria applied to all other candidates.

If a coadjutant or teaching assistant is qualified for a full- or part-time faculty opening, he or she may not be automatically transferred into regular faculty status. A full search must be conducted, with the internal employee competing against other applicants in the pool.

When a hiring department has an opportunity to attract a clearly outstanding individual with unique qualifications and a singular and distinguished national or international reputation, the full search may be waived. Before negotiations with the candidate are initiated, however, the applicability of this exception to the particular candidate should be discussed with and approved by the Provost or Vice President. If negotiations are successful, the Faculty Recruitment Summary Form (UPF-1F) should be completed and processed as prescribed, with an attachment explaining the departure from established procedures.

From time to time, hiring situations may arise that require special handling. Hiring authorities are encouraged to discuss these with their Provost or Vice President. Every effort will be made to accommodate these situations within the law and University procedures. Early consultation is a good guarantee against later delays.

OBLIGATIONS TO NEW APPOINTEES

It is the responsibility of Deans or Directors to inform new applicants in writing of all terms, conditions, and privileges of employment.

It is the responsibility of Department Chairs to inform new appointees of all personnel procedures and standards that will govern their professional careers at Rutgers, including criteria for reappointment, promotion, and tenure, and to otherwise see that adequate supervision and periodic evaluation are afforded new members of the department.

MAJOR LAWS AND ORDERS GOVERNING NONDISCRIMINATION IN EMPLOYMENT

1. Title VII of the Civil Rights Act of 1964, as amended

   Prohibits discrimination against any individual with respect to hiring, discharge, compensation, and all terms, conditions, and privileges of employment because of race, color, religion, sex, or national origin.

2. Presidential Executive Order No. 11246 (1965), as amended

   Prohibits discrimination by federal contractors against any employee or applicant for employment on the basis of race, color, religion, sex, or national origin. Requires the employer to take affirmative action to expand employment opportunities for women and members of minority groups[10] and to eliminate practices which have the effect of excluding or limiting their employment. Also requires a written affirmative action plan, including goals for overcoming the underutilization of minorities and women in the employer's workforce.

3. Section 503, Rehabilitation Act (1973)

   Prohibits discrimination against any employee or applicant for employment because of physical or mental disability regarding any position for which he or she is qualified. Requires the employer to take affirmative action to employ, promote, and otherwise treat qualified individuals with disabilities without discrimination based on their disability. Also requires a written affirmative action plan, but hiring goals need not be established. Affirmative action does require that an employer take steps to accommodate a qualified worker with a disability unless accommodation poses an undue hardship.

4. Vietnam Era Veteran's Readjustment Assistance Act of 1974

   Prohibits discrimination by federal contractors against applicants or employees because they are special disabled veterans or veterans of the Vietnam era in regard to any position for which they are qualified. Requires that employers take affirmative action to employ, advance in employment, and otherwise treat special disabled veterans and Vietnam era veterans without discrimination based on their disability or veteran's status. Also requires a written affirmative action plan, but hiring goals need not be established.

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[10] Defined as American Indian or Alaskan Native, Asian or Pacific Islander, Black, and Hispanic.

Major Laws and Orders Governing Nondiscrimination in Employment

5. Age Discrimination in Employment Act of 1967, as amended

   Prohibits employers from failing or refusing to hire, or from discharging, or from otherwise discriminating against any individual with respect to compensation and all terms, conditions, and privileges of employment because of the individual's age. Exceptions to the prohibition against forced retirement include certain high-level executives, public safety personnel, and, until 1994, tenured faculty age 70 and over.

6. Equal Pay Act of 1963, as amended

   Prohibits employers from discriminating on the basis of sex in paying salaries for equal work requiring equal skill, effort, and responsibility and performed under similar working conditions.

7. New Jersey Law Against Discrimination, as amended (1945)

   Prohibits job discrimination on the basis of race, creed, color, national origin, ancestry, age, marital status, affectional or sexual orientation, sex, atypical hereditary cellular or blood trait, liability for service in the Armed Forces of the United States, or familial status. The law also applies to physical disability unless the nature and extent of the disability "reasonably precludes the performance of the particular employment."

8. Title I of the Americans with Disabilities Act (1990)

   Prohibits employers from discriminating against any qualified employee or applicant for employment because of a physical or mental disability. In addition, it requires employers to make reasonable accommodations for qualified individuals with disabilities unless doing so would impose an undue hardship.

For further information about these laws and other federal and state statutes prohibiting discrimination in employment, contact:

Affirmative Action & Employment Research
ASB Annex I
Busch Campus
Extension 2136

N.J. DIVISION OF CIVIL RIGHTS
GUIDE ON PRE-EMPLOYMENT INQUIRIES

Category	It is Discriminatory to Inquire About:	Some Examples of Acceptable Inquiries:
NAME	(a) the fact of a change of name or the original name of an applicant whose name has been legally changed	(a) whether or not the applicant has ever worked under another name or was the applicant educated under another name (allowable only when the data are needed to verify the applicant's qualifications)
	(b) maiden name	
BIRTHPLACE AND RESIDENCE	(a) birthplace of applicant	(a) are you either a U.S. citizen or a permanent resident alien?
	(b) birthplace of applicant's parents	
	(c) requirement that applicant submit birth certificate, naturalization or baptismal record	
	(d) own home, rent, board or live with parents	
	(e) citizenship	
CREED AND RELIGION	(a) applicant's religious affiliation	
	(b) church, parish, or religious holidays observed by applicant	
RACE OR COLOR	(a) applicant's race	
	(b) color of applicant's skin, eyes, hair, etc.	
PHOTOGRAPHS	(a) photographs with application	
	(b) photographs after interview, but before hiring	

Category	It is Discriminatory to Inquire About:	Some Examples of Acceptable Inquiries:
AGE	(a) date of birth or age of applicant	(a) applicant may be asked if he/she is over the minimum legal age or under a bona fide mandatory retirement age
	(b) age specifications, limitation, or implications in a newspaper advertisement which might bar workers under or over a certain age	
	(c) driver's license number (contains driver's age)	
LANGUAGE	(a) applicant's mother tongue	(a) language applicant speaks or writes fluently (only if job related)
	(b) language commonly used by applicant at home	
	(c) how the applicant acquired ability to read, write, or speak a foreign language	
RELATIVES	(a) name and/or address of any relative of applicant	(a) name and address of person to be notified in case of accident or emergency
MILITARY EXPERIENCE	(a) applicant's military experience in other than United States Armed Forces	(a) military experience of applicant in Armed Forces of United States only when used for employment history
	(b) National Guard or Reserve units of applicant	(b) whether applicant has received any notice to respond for duty in the Armed Forces
	(c) draft classification or other eligibility for military service	
	(d) applicant's whereabouts in 1941-45, 1950-53 or 1964-73	
	(e) dates, conditions, and type of discharge	

Category	It is Discriminatory to Inquire About:	Some Examples of Acceptable Inquiries:
ORGANIZATIONS	(a) any clubs, social fraternities, sororities, societies, lodges, or organizations to which the applicant belongs	(a) membership in a union, professional or trade organization
REFERENCES	(a) the name of applicant's pastor or religious leader	(a) name of persons willing to provide professional and/or character references for applicant
SEX AND MARITAL STATUS	(a) sex or marital status or any questions which would be used to determine same	
	(b) number of dependents, number of children	
	(c) spouse's occupation	
ARREST AND CONVICTION RECORD	(a) the number and kinds of arrest of the applicant	(a) convictions which bear a relationship to the job, and have not been expunged or sealed by a court
HEIGHT AND WEIGHT	(a) any inquiry into height or weight of the applicant	
EDUCATION	(a) whether or not the applicant is a high school graduate	(a) show highest grade completed
		(b) detail your education background

RUTGERS UNIVERSITY

The State University of New Jersey

RUTGERS

AA/EEO PROBLEMS AND PROCEDURES

Office of Affirmative Action

142 .R33

A SUMMARY OF AA/EEO LAWS

WHO IS COVERED BY THE LAW?

The University is required to provide equal employment opportunity regardless of:

- Race
- Sex
- Religion
- National Origin
- Color
- Ancestry
- Age
- Sexual Orientation
- Physical or Mental Disability
- Marital Status
- Military Status
- Veteran Status
- Familial Status

WHAT AREAS OF EMPLOYMENT ARE COVERED BY THE LAW?

All terms and conditions of employment are covered by AA/EEO laws including, but not limited to:

- Recruitment
- Hiring
- Promotion
- Demotion
- Termination
- Training
- Salary
- Layoff
- Return from Layoff
- Social and Recreational programs

WHAT BEHAVIORS ARE PROHIBITED BY THE LAW?

- Discrimination
- Harassment

IS THIS AN AA/EEO PROBLEM?

1. Jerry, a white male, and Betty, an Asian female, each applied for the same promotional opportunity in Data Processing. Both met the minimum qualifications for the position, but Jerry had additional qualifications such as a master's degree and five additional years work experience. Shanya was chosen for the position.

2. Barbara asks Frank, a co-worker, to join her for a drink after work. He says he would be delighted.

3. Tony and Bill have an ongoing rivalry and try to outdo each other at every turn. Lately they have gone out of their way to see who can be most helpful to a new female co-worker. Yesterday, good-natured competition turned into an all-out fist fight.

4. Gale has always been "one of the boys." She always held her own with jokes, even the sexual ones, and with regard to pranks she gave as much as she took. Yesterday she told her supervisor, "The guys are making crude jokes all the time. They're not funny to me and I can't stand it any longer."

5. As Jack and Arthur were walking to their cars after work one day, Jack mentioned that it is a waste to give merit increases to married women because they have husbands to support them.

6. Bob, a supervisor, asked Cathy to go out with him on three occasions. After she refused, Bob transferred her from word processing to the less prestigious and challenging job of file clerk.

7. Whenever Michael has a criticism of Michelle's work, he stands at her office door and talks in a loud voice which can be heard by her co-workers. This always embarrasses Michelle.

8. Kathleen met with her employee, Ted, to discuss work. She praised the work that Ted had done over the last six months. Ted stated that he would be willing to do anything to get a promotion, even if it were personal.

9. During his semi-annual performance review, Jordon, an African-American, is told he needs to improve his ability to read blueprints. When Abdou asks for help in developing this skill, he is given a pile of blue prints and told to "read them until he understands."

10. Doris always seems to be running into Larry at work. When she starts seeing him at the grocery store, the library, and other places outside of work as well, she starts to feel uneasy.

IS THIS AN AA/EEO PROBLEM? (Continued)

11. Anthony is a paralegal and the attorney for whom he works often leaves him a list of things she needs done while she is out of town. Usually seven out of ten of the items are personal errands and the other three relate to relevant cases. There are three other paralegals (women) who work with Anthony and this attorney never gives them personal errands to run.

12. Charles has to assign one of his sales representatives to finalize a deal with a company in Tokyo. He gives the assignment to Jim, although Philip is next in line for a high visibility assignment. Philip is confined to a wheel chair.

13. Maria is a born-again Christian. She is so thankful for being saved that she wants to share it with her co-workers. She is constantly suggesting that they too can be saved by reading the Bible or joining her church.

14. Bill put a picture of a woman in a bikini in the coffee room. Harriet found this amusing and hung a picture of a man in a thong next to the woman in the bikini.

15. Sam is the first minority programmer hired into the department. All the other programmers are convinced that he was hired only because he is a minority.

16. At the monthly staff meeting, Joe praises Jacob and Joshua for developing a computerized personnel system. Sonia, who conceived of the system and oversaw its development, is not mentioned.

17. Joe has a large picture of a naked woman in his office. Although no one he works with has seen the picture, everyone knows that it is there.

18. Malcolm, Director of Personnel, enjoys playing golf and regularly asks his male managers to join him. Malcolm feels that this informal atmosphere encourages the discussion of policy issues in a relaxed way.

19. Jim is the only male among an office staff of ten. Recently, he noticed that people were looking at him strangely and avoiding him. A friend from the office down the hall told him that the women he works with have been spreading the rumor that he is gay and most likely has AIDS. Phil, who Jim replaced, quit because the same rumor was spread about him.

20. Frank has been turned down for a company computer training program in each of the last three years. He notes that those chosen for training have an average age of thirty-five. Frank is fifty-eight years old.

WHAT TO DO IF:

YOU EXPERIENCE DISCRIMINATION:

Report the incident or incidents to the Office of Affirmative Action.

YOU EXPERIENCE HARASSMENT:

1. Informal Approach

    a. Tell the offender that the conduct is unwelcome and must stop.

    b. Have a friend or associate tell the offender that the conduct is unwelcome.

    c. Write a letter to the offender.

        1. Include a description of the behavior that offended you
        2. Describe how that behavior made you feel
        3. Explain what you want to happen next
        4. Deliver the letter in person or mail it
        5. Keep a copy of the letter

2. Formal Approach

    Discuss the problem with one of the following:

    a. Your supervisor
    b. Sandra Troy, Personnel Officer, University Libraries
    c. Office of Affirmative Action
    d. Office of Employee Relations

GUIDELINES FOR FACULTY RECRUITMENT

Introduction

These guidelines are designed to assist departments, schools and the search committees they appoint. Among other objectives, the procedures outlined herein are intended to facilitate and demonstrate the University's good faith efforts to locate and consider for employment a wide pool of applicants, including qualified minority persons, women, and handicapped persons and special disabled or Viet Nam Era veterans. Our searches should communicate to the largest and most diverse group of candidates possible the merits of this institution as a place in which professional growth is promoted and in which professional excellence is rewarded. We seek further to select from among this group an individual who will make significant contributions to our institutional goals and mission. Thus, our search committees are not merely screening committees. They are involved in formulating position descriptions, identifying candidates, and inviting individuals to become candidates.

1. The University's Commitment to Equal Opportunity and Affirmative Action

1.1 It is the policy of the State University of New York at Albany to provide equal opportunity in employment and upward mobility for all qualified persons, to prohibit discrimination in employment because of age, color, handicap, marital status, national origin, race, religion, sex, sexual preference, and Viet Nam-era veteran status. This policy includes, but is not limited to, the requirements of Federal Executive Orders 11246 and 11375 as amended, the State of New York's Executive Law (Human Rights Act), the Governor's Executive Order Number 6, regulations 503 and 504 of the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Assistance Act of 1974, as amended, and Title IX of the Education Amendments of 1972.

1.2 In addition to providing equal employment opportunities for all qualified persons, the University has a special commitment to the principle of Affirmative Action, which entails a positive, ongoing effort to seek qualified members of two under-represented groups, women and minorities. These two groups, because of past discrimination, intentional or otherwise, have been excluded from their "fair share" of positions in higher education. It is the goal of this University to achieve equitable

representation of women and minorities in all academic, administrative and service units of the University. When two candidates appear equally qualified, the candidate who will contribute the most to the achievement of a unit's affirmative action goals shall be selected. The Office of Affirmative Action will provide availability data to units upon request so that equitable representation for a particular position or field can be determined. Such efforts are required by Federal and State guidelines, but more important, they are a function of this University's commitment to reflect in itself the spirit and aspirations of a democratic society.

1.3 In order that we may achieve our Affirmative Action goals, the Office of Affirmative Action will have substantive involvement in faculty recruitment at three stages in the process. These are as follows: first, when the Affirmative Action Recruitment Plan is filed (see section 3.6); second, when the dossiers of all applicants are reviewed and <u>before candidates are invited to campus</u> (see section 7.1); and third, when a candidate is selected and permission to extend an offer is requested (see section 10.1). The Director of the Office of Affirmative Action will keep the Executive Vice President for Academic Affairs informed of the results of the substantive reviews at all three levels.

2. <u>Authorization for Recruitment</u>

2.1 A Dean may initiate a recruitment action by requesting from the Executive Vice President for Academic Affairs authorization to fill a position. If authorization is received from the Executive Vice President for Academic Affairs, the department to which the line will be allocated may be instructed by the Dean to develop a job description and forward its request to the Dean.

2.2 The Dean and the Executive Vice President for Academic Affairs will agree on the rank and salary and on the programmatic responsibilities asssociated with the position. If the position carries responsibilities in more than one School or College, the appropriate Deans and, where appropriate, Chairs will be consulted. The position is to be defined so as best to meet the long-range objectives of the program and the University as a whole.

2.3 The department Chair will then complete and forward to the Dean a UP-5 form ("Announcement of Professional Vacancy"), an AP2A form ("Request to Fill a Vacancy") and one copy of the Affirmative Action Recruitment Plan (see section 3.6 below). The forms will be sent by the Dean to the Executive Vice President for Academic Affairs and then to the Personnel Office. The announcement must be assigned a closing date of at least four weeks from the time it is received by the Personnel Office to allow for internal and SUNY-wide posting. No final selection of candidates or interviews can occur before the closing date.

SUNY Central will send copies of the announcement to retrenched employees throughout the SUNY system so they may have the opportunity to be considered for the opening, as provided for in the UUP Agreement. The Personnel Office will notify the department as soon as an application from a retrenched employee arrives and/or verify the retrenched status of applicants who apply directly to the department. The Personnel Office will then set a date by which the applicants must be informed concerning their status in the search process.

2.4 Certain circumstances may preclude the use of standard posting and search procedures before making an appointment. Waivers of part or all of the regular search process may be requested in the following cases:

a. A late resignation, sudden illness, critical workload factor or other emergency necessitating immediate hiring: or

b. A position requiring familiarity with internal campus operations.

The University Commission for Affirmative Action acts on all waiver requests. A written request for a waiver of any or all sections of the regular affirmative action recruitment process should be submitted to the Chair of that Commission through the Affirmative Action Office with a copy to the Personnel Office. Such a request should be made as soon as the need for a waiver becomes clear. Special consideration for retrenched employees will not be waived.

If the waiver does not result in an appointment that moves the department closer to its affirmative action goals, the department will attach a proposal to the waiver request specifying the affirmative action it will take at the next opportunity to diversify its workforce, student body, outreach, etc.

The written request should include:

a. a justification for the request;
b. a description of the position and the minimum qualifications for applicants;
c. a plan, if there is to be a search, detailing precisely how that search would be conducted to attract candidates from protected classes;
d. the résumé of any candidates who have already been identified, if such is the case, and a description of the process used to locate them.

The Commission will consider the request at its next regular bi-weekly meeting. A written permission or denial to waive posting and recruiting following the decision of the Commission will be issued by the Affirmative Action Office with a copy forwarded to Personnel.

3. <u>The Search Committee</u>

3.1 The search committee will be appointed by the department or by the Dean if the position carries extra-departmental responsibilities or is a joint appointment. The committee chairperson should be designated by the department or the Dean, as appropriate. For joint appointments or positions carrying extra-departmental responsibilities, the secondary department should be represented on the search committee and should be given an opportunity to help write the position description to develop the list of organizations to be contacted and to participate in the interview process.

3.2 Although departments may not normally assign additional responsibilities to new-to-campus faculty, such persons may prove useful to search committees because they have so recently been through the search process themselves. They may also provide the balance among diverse groups that is desirable. Serving on search committees will also help acquaint new faculty members with campus procedures and prepare them for future leadership roles.

3.3 Search committees should reflect the diversity of the University community, including whenever possible, women, minority group members, and graduate students. If appropriate, non-teaching professionals, part-time faculty, and undergraduate students may serve on search committees.

3.4 At least one member of a search committee should have prior experience in participating in an academic search on this campus.

3.5 Members of the search committee should be clearly informed, preferably in writing, of the responsibilities associated with the position, as agreed upon by the Dean and the Executive Vice President for Academic Affairs. All members should also be provided with a copy of the Guidelines for Faculty Recruitment by the Dean's office when authorization to recruit is given and the search committee is formed.

3.6 The search committee will develop, in triplicate, an Affirmative Action Recruitment Plan (See Appendix A). One copy of the Recruitment Plan will accompany the UP5, AP2A form when they are forwarded through administrative channels. The recruitment plan will include the following components:

a. the goals which the department or program has set to overcome under-representation of minorities and women;
b. the names of search or screening committee members or responsible officers;
c. a position description;
d. a list of organizations to be contacted;
e. media in which the position will be advertised;
f. methods to be used for ranking candidates;
g. selection criteria in order of priority;
h. interview procedures and names of interviewers.

The preparation of the Recruitment Plan, and subsequent efforts to attract minority and women applicants, should be conducted by the search committee. If the Recruitment Plan is found deficient in any respect, the Affirmative Action Office will contact the search committee, screening committee, or unit head within two business days of receipt of the plan so that it may be revised to meet Affirmative Action guidelines and procedures. The search procedure will not progress further until the plan

has been approved. No public or private announcement of the position will occur until after the approval of the recruitment plan has resulted in authorization to advertise. The committee should retain two copies of the Recruitment Plan for completion of the Report at the end of the recruitment process.

3.7. The Chair of the Search Committee shall have responsibility for monitoring affirmative action efforts and shall assure that the Director of Affirmative Action is included in the process at the points specified in the Guidelines.

4. Advertising the Position

4.1 Advertisements should state as clearly and specifically as possible the nature of the position and the qualifications required. The Equal Employment Opportunity Commission's "Guidelines of Employee Selection Procedures" prohibit any job qualifications or selection standards which disproportionately screen out individuals and clear indication that the appointment is subject to approval by the groups protected by Title VII of the Civil Rights Act unless (1) the qualifications and standards are job-related, and (2) no other non-discriminatory standards can be developed to meet requirements shown to be justified by institutional needs. The qualifications should match as closely as possible the skills and abilities needed to carry out the job effectively.

4.2 All advertisdements must include the following statement: "The University at Albany, is an Equal Opportunity Affirmative Action Employer. Applications from women, minority persons, handicapped persons, and or special disabled or Vietnam era veterans are especially welcome."

4.3 Advertisements should indicate that applications are to be sent to either the Chair of the department or the Chair of the search committee, as specified. Please note that this represents a change from the current procedure as set forth in PER-78 of the Personnel Procedures Manual. The Personnel Office is no longer receiving and acknowledging applications.

4.4 Copies of all advertisements must be included with the Affirmative Action report at the end of the search.

5. Developing an Applicant Pool

5.1 The search committee should choose organizations and publications which are most likely to yield a diverse applicant pool. These should include selected media directed to potential minority, female, and handicapped applicants. The Personnel Office has a list of media sources. The committee should also consider contacting agencies, organizations, and professional associations, including campus-based groups working on behalf of minority and female job-seekers.

5.2 In addition to inviting applications by means of advertisements, the committee may wish to contact potential applicants directly or solicit nominations from colleagues in the field. Such efforts should be openly discussed by the entire search committee. The department should develop and maintain contact with individuals who can assist in the recruitment of minority and female applicants. Departments are encouraged to keep an informal record of such individuals both for future use, and in order to document their good faith effort. Although normally, invited or solicited applicants should not in any way receive preferential treatment during the recruitment process, the committee should make a special effort to give every consideration to qualified minority and female applicants.

6. Communication with Applicants

6.1 All applicants for an advertised position will receive a letter of acknowledgment from the search committee or the department, along with a yellow group identity data card with the posting number affixed, (see Appendix B). In order to obtain a better understanding of the effectiveness of our recruitment efforts, the self-addressed group identity data card requesting ethnicity, sex, handicap status, Vietnam era veteran status, and source of information regarding the vacancy, must be enclosed with the letter. This card will be returned anonymously to the Affirmative Action Office, which will tabulate the responses and forward the results to the chair of the search committee with the names of any protected class candidates who have chosen to sign their cards.

6.2 Any communication with applicants by members of the search committee or the department should be in writing and/or should be shared with the entire

committee. Normally, such communication should be restricted to requests for additional information and should not in any way interfere with an open search process.

7. Initial Review of Résumés

7.1 The search committee or a subgroup thereof should thoroughly review résumés to screen out unqualified applicants based on the established selection criteria, keeping in mind the departmental affirmative action goals. In some disciplines, the preliminary screening of candidates will occur at midwinter national conferences. Before any candidates are selected for campus interviews, the Director of Affirmative Action or his/her designee should be invited to screen the résumés and have an opportunity to discuss with the committee those candidates who deserve further consideration. The resumes of the top minority, female, Vietnam era veteran, and or handicapped candidates should be available for Affirmative Action Office's review if those candidates are not among the candidates proposed for interview.

7.2 Those persons who clearly lack the appropriate credentials should be so informed in writing. The remaining candidates who are not considered as finalists should be rated or categorized and there should be clear justification for their status. The best applicants should be invited for interviews. As candidates are removed from consideration, they should be notified in a timely fashion. Appropriate written records of the review process should be maintained.

8. Factors Affecting the Selection of Candidates to be Interviewed

8.1 After the initial review of résumés, the search committee may decide to solicit additional material, including written references or publications. The committee may solicit assessments of candidates from experts in the field. Under such circumstances, every effort must be made to avoid illegal questions as specified in Appendix C.

8.2 If the search is one of two or more being conducted by the department and/or college, the chairpersons of the search committees, the department Chair, and/or the Dean may wish to confer about the progress of the separate searches before candidates are brought to

campus. Since faculty serve in a variety of functions in a department, it may be that such consultation and comparison of candidates will ensure the best possible distribution of functions between or among the positions to be filled.

9. Interviews

9.1 Normally, three or four candidates will be interviewed during the recruitment process. Remember, campus policy requires consultation with the Director of Affirmative Action prior to final selection of candidates for campus visits. Candidates to be interviewed will benefit from whatever information the committee can provide concerning the University and its programs. These might include graduate and undergraduate bulletins, the annual Programs and Priorities Report, and the Faculty Handbook.

9.2 After arrangements are made to bring a candidate to the campus an interview schedule should be drawn up by the department Chair and/or chairperson of the search committee, to include as many as possible of the areas which relate to the position and the individual's area of expertise. If scheduling permits, the Executive Academic Vice President or his designee should have an opportunity to meet candidates for senior level appointments. Where appropriate, candidates should have the opportunity to meet with minority persons and women on this campus. The search committee or its designee shall ensure a consistent structure for candidates' evaluations by interviewers and take the responsibility for soliciting those evaluations.

9.3 Interviewers should be cautioned that it is unlawful to ask questions pertaining to race, marital status, religion, and other such questions that are not job related. The Affirmative Action Office (again, see Appendix C) has materials on interview guidelines which should be reviewed before the interviews are conducted.

10. The Final Selection

10.1 After the search committee has fully discussed all evaluations of all of the candidates they will make a recommendation to the department Chair or Dean as appropriate. This recommendation should include the names of two or more candidates, preferably ranked. Each member of the committee will receive a copy of the final recommendations submitted by the committee chairperson to the responsible department, or program. The department Chair or the chairperson of a

search committee will contact the Affirmative Action Office to discuss its recommendation prior to requesting permission to extend an offer. The Director of Affirmative Action will inform the Executive Vice President for Academic Affairs when this consultation has taken place, indicating her concurrence with the recommendation, or, if applicable, her objections to the proposed appointment. The Executive Vice President for Academic Affairs will authorize the extension of an offer after discussing any special conditions or resources needed with the Dean.

10.2 In the past few years, letters of offer have acquired the status of a contract or agreement between a new faculty member and an institution. Any special conditions such as salary, workload, research facilities, or special expectations should be clearly spelled out in the letter of offer and should have the concurrence of the Dean, and where appropriate, the Executive Vice President for Academic Affairs. In the SUNY system, the official appointment is made by the campus President, except for new appointments that are made with tenure and which must be approved by the Chancellor. The letter of offer, prepared by the Chair or Dean, should provide a clear description of salary, responsibilities and duties, research facilities, any special conditions, and include a statement that the appointment is subject to the approval of the Executive Vice President for Academic Affairs and President (see Appendix B, p. 2 for sample letter of offer). A copy of the letter of offer should be sent to the Executive Vice President for Academic Affairs. Once an offer is made, the Dean and the Executive Vice President for Academic Affairs shall be kept informed of any negotiations that alter any of the original understandings among all parties regarding the nature of the position or the terms and special conditions of the offer. Once the offer is accepted, the Executive Vice President for Academic Affairs will prepare a formal institutional letter of offer confirming the salary, rank, duties and responsibilities and any special conditions agreed to by the candidate and the institution. This letter will then be sent over the President's signature.

10.3 If the department is unable to appoint its first choice for the position, the process outlined in 10.1 will be repeated for the second choice. Any changes in salary or conditions of appointment should be discussed with the Executive Vice President for Academic Affairs.

10.4 In certain very competitive disciplines there exists a high probability that several offers will be refused before a search results in an appointment. In these instances, the Dean, with the approval of the Executive Vice President for Academic Affairs, may authorize the search committee to continue adding to the field of candidates after offers have been extended, and if need be, to schedule additional campus interviews. As the field of candidates continues to change, the search committee must continue to obtain the concurrence of the Affirmative Action Office for each successive offer.

11. Maintenance of Records

11.1 The department is responsible for keeping the following records, to be available upon request:

a. names and addresses of applicants, plus the job number of the position applied for if the department is conducting more than one search;
b. date of receipt of application;
c. a sample letter acknowledging receipt of application and notification of the outcome of the search with a list of persons to whom the letter was sent;
d. copies of any other correspondence with candidates;
e. a list of candidates interviewed.
f. a copy of any advertising

These records, plus the files accumulated from the search, must be maintained by the department or placed in a repository designated by the University's Archivist for a minimum of three years as required by Federal law. The department should retain the third copy of the Affirmative Action Recruitment Plan and Report in its files.

11.2 Some applicants may be qualified for positions in other departments and may be of interest to other search committees, screening committees, or department heads. For these reasons, résumés of identifiable minority, female, and handicapped applicants, special disabled or Viet Nam Era Veterans should be forwarded to the Affirmative Action Office by the Chair of the search committee.

11.3 It is important that adequate records be maintained at all points in the screening and interviewing process so that in subsequent reviews it can be reasonably demonstrated that all regulations with respect to Affirmative Action have been observed and that the search committee has indeed made a good faith effort. Records may include a copy of the Affirmative Action Plan and Report, a copy of the standard letter used to contact individuals and organizations, a list of persons and places to which the letter was sent, a copy of all advertisements used, and whatever other written evidence is appropriate to indicate that the Affirmative Action Plan was followed. The committee should also preserve some record of committee deliberations including summaries or minutes of meetings and explanations of its reasons for choosing the final candidate.

12. The Affirmative Action Report

At the end of the search process, the chairperson of the search committee will complete section II of the Affirmative Action Recruitment Plan and Report, which consists of a brief description of how the search process differed from the recruitment plan and provides information about the sex and ethnicity of all qualified applicants plus sex, ethnicity, identity and disposition of all candidates interviewed. This document should be seen and signed by all members of the committee. A final report must be submitted to the Affirmative Action Office before the appointment is formally processed and an official letter of offer is issued by the President. Information from the report is required to maintain the campus' compliance with applicable state and federal hiring regulations. The report also helps to make further refinements to our recruiting efforts.

13. Externally Funded Positions

Project directors, in the recruitment and selection of persons for programs and activities contingent upon the receipt of a grant, or a contract with a sponsor external to the State University, shall follow insofar as possible, the same search procedures that are applicable to the positions funded by the State University. In order to ensure that recruitment be as open as possible, the project director will:

13.1 restrict formal commitments of employment contingent on receipt of funds to persons identified by inclusion of résumés in the proposal. (Only résumés of persons whose special qualifications are a significant element in the probability of success in obtaining a grant of contract should be included); and

13.2 consult the Affirmative Action Office to develop an appropriate search procedure when grants or contracts have a starting date six weeks or more after the receipt of an award notification.

AFFIRMATIVE ACTION RECRUITMENT PLAN

Position Title _____ Position Description _____

Department _____ Department Chair _____

Search Chair _____ Plan Prepared by _____

Date Filed _____ Phone No. _____

Attach additional sheets if necessary.

1. What goals have been set to overcome underutilization of minorities and women for this category of position?

2. Names of search/screening committee members.

3. Position description.

4. Organizations to be contacted.

5. Media to be used.

6. Methods for ranking candidates.

7. Selection criteria in order of priority.

8. Names of interviewers.

9. Roles of minority, female and handicapped staff members in the search.

AFFIRMATIVE ACTION RECRUITMENT REPORT

Position Title _____ Posting No. _____

Department _____ Date Filed _____

1. How does this appointment affect the goals set to overcome underutilization of minorities and women for this category of position?

2. Names of identifiable minorities, females, Vietnam era veterans, or handicapped applicants.

3. Total number of applicants who met the minimum qualifications.

   Male _____ Female _____ Unknown _____

4. Total number of applicants who are U.S. Citizens or resident aliens.

   Male _____ Female _____ Unknown _____

5. Include data in appropriate ethnicity column drawn from the Group Identity Tally Sheets which were sent to you from the Affirmative Action Office as well as any additional information you may have.

Total No. of Applicants	Total		Black		Hispanic		Asian		Native American		Caucasian		Total Minorities	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F

6. Total handicapped. Male _____ Female _____

7. Total Vietnam era veterans. Male _____ Female _____

8. Name of person hired. _____

   Gender _____ Ethnicity _____

9. Identify candidates interviewed. Specify hired or not hired (disposition).

Date Interviewed	Name	Gender	Ethnicity	Vietnam Era Vet.	Handi-capped	Disposition

10. Signatures of committee members.

_____ _____

_____ _____

_____ _____ 172

University Libraries Goals and Objectives

D. Recruit, train and develop personnel and increase staff diversity. Recruit, hire, and train outstanding staff and deploy them effectively to support services. Provide professional development opportunities. Increase the diversity of the library staff through active affirmative action recruitment. Create an environment that encourages accomplishment, assists staff to be successful, and facilitates staff retention.

1. Assign staff to address priority service and processing needs.

   1.1 Encourage cross-training opportunities to increase staffing flexibility and staff development.

2. Expand student internship and assistantship opportunities and seek funding support.

3. Identify training needs and development opportunities for students and seek funding support.

   3.1 Develop a plan to address short-term and longer-term educational and training needs of Library Systems Development staff for UNIX programming, client server architecture, digital spatial data systems, and electronic networking.

4. Provide support and training for automation of operations and services. Upgrade staff skills and expertise to take advantage of new information technologies.

   4.1 Provide current information about resident experts in various software packages and technologies.

   4.2 Develop Technical Services workstation/gophers.

   4.3 Increase staff expertise with electronic equipment and access systems.

   4.4 Coordinate training efforts with the Computing Services Center to provide education in selected software, hardware and telecommunications.

5. Work with faculty in various departments to design courses, plan conferences or offer workshops for librarians to increase their knowledge and skills.

6. Increase opportunities to recruit and hire diverse staff.

   6.1 Recruit for a TOP appointment for the University Libraries.

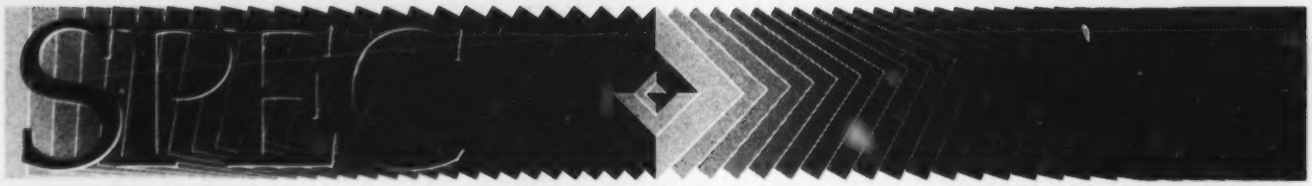
   6.2 Work with search committee members and others to increase the number of underrepresented minority and protected class candidates in applicant pools.

   6.3 Actively recruit identified candidates and create a welcoming environment for all new employees. Mentor new librarians and professionals.

      6.3.1 Provide diversity and multicultural training opportunities.

7. Support the work of the Library Diversity Committee to encourage increased awareness of staff diversity and the diversity of the persons the library serves; publicize library activities and those of other groups on campus and in the community which foster diversity.

8. Seek funding for library internships for the Minority Internship Program and continue to actively recruit students to these internship opportunities.



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SELECTED READINGS

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Altman, Ellen, and Patricia Promis. "Affirmative Action: Opportunity or Obstacle." *College & Research Libraries* 55 (January 1994): 11-24.

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Glaviano, Cliff, and R. Errol Lam. "Academic Libraries and Affirmative Action: Approaching Cultural Diversity in the 1990s." *College & Research Libraries* 51 (November 1990): 513-23.

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Josey, E. J. "The State of Diversity." *The Reference Librarian* 45-46 (1994): 5-11.

Mann, Tammy L., and Paula R. Skedsvold, issue editors. "The Affirmative Action Debate: What's Fair in Policy and Programs?" *Journal of Social Issues* 52 (Fall 1996). Entire issue.

Morin, Richard. "Affirming Affirmative Action Hires." *The Washington Post*, 12 January 1997, C05.

"Rethinking Affirmative Action." *Change: The Magazine of Higher Learning* 25 (no. 2, 1993). Entire issue.

Trujillo, Robert G., and David C. Weber. "Academic Library Responses to Cultural Diversity: A Position Paper for the 1990s." *Journal of Academic Libraries* 17 (July 1991): 157-161.

LISTSERVS

African American Studies Librarians. A discussion forum of the Association of College and Research Libraries (ACRL) for anyone interested in the African American experience and librarianship. Available E-mail: <listserv@listserv.kent.edu>.

Equity Librarians Network. A discussion forum for diversity in libraries. Available E-mail: <EQUILIBR@CMSA.BERKELEY.EDU>.

REFORMANET. A discussion forum of REFORMA, The National Association for the Promotion of Library Services to the Spanish Speaking. Available E-mail: <reformanet@lmrinet.ucsb.edu>.

NEWSLETTERS

American Indian Libraries Newsletter. Published irregularly by the ALA/OLOS Subcommittee on Library Service for American Indian People in cooperation with the American Indian Libraries Association. ALA/OLOS, 50 East Huron Street, Chicago, IL 60611.

BCALA Newsletter. Published bimonthly by the Black Caucus of the American Library Association. Campus Box 2654, Rollins College, Winter Park, FL 32789.

Chinese-American Librarians Association Newsletter. Jian Liu, editor. Published three times a year. Available: <http://library.fgcu.edu/cala/>. See also: <http://www.indiana.edu/~librcsd/cala/nl>.

Japanese American Library Bulletin. Published quarterly. P.O. Box 590598, San Francisco, CA 94159-0598.

Multicultural Review. Quarterly magazine and review source "dedicated to a better understanding of ethnic, racial, and religious diversity." 10 Bay Street, Westport, CT 06880.

REFORMA National Newsletter. Edward Erazo, editor. Published quarterly in March, June, September, and December by REFORMA, The National Association for the Promotion of Library Services to the Spanish Speaking. New Mexico State University Library, Box 30006/Dept. 3475, Las Cruces, NM 88003-0006. Telephone: 505-646-6930.

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Quien es Quien: A Who's Who of Spanish-heritage Librarians in the United States. Arnulfo D. Trejo, editor. Tucson, AZ: University of Arizona, Mexican American Studies and Research Center, 1981.

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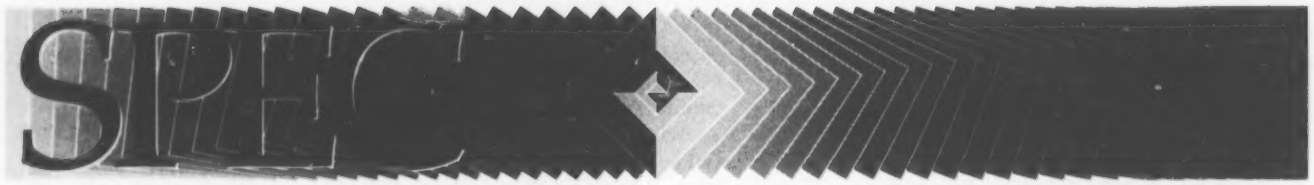

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